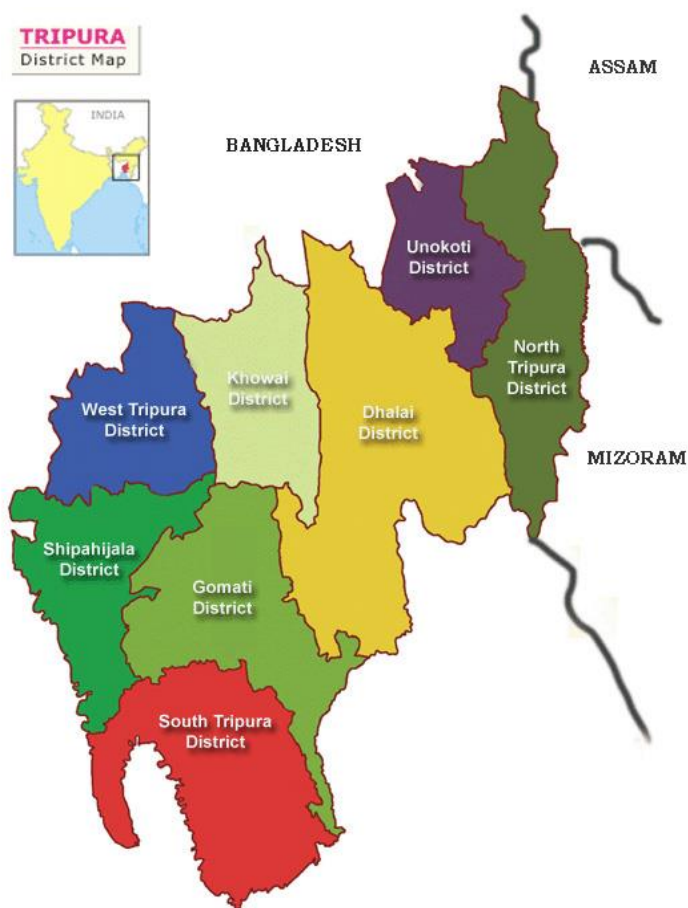


Community Engagement Planning Framework (CEPF) & Environmental and Social Management Framework (ESMF)

Final Version



Indo-German Development Cooperation

Climate Change Adaptation Programme in the Himalaya, Component II:
Tripura. Climate Resilience of Forest Ecosystems, Biodiversity & Adaptive
Capacities of Forest Dependent Communities
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Acronyms

ABS	Access and Benefit Sharing
ADC	Autonomous District Council
AIPP	Asia Indigenous Peoples Pact
ANR	Aided Natural Regeneration
BLC	Block Level Committee
BDC	Block Development Committee
BMC	Biodiversity Management Committee
BMZ	Bundesministerium für Wirtschaftliche Zusammenarbeit und Entwicklung (German Federal Ministry for Economic Development and Cooperation)
BPL	Below Poverty Line
CAMPA	Compensatory Afforestation Fund Management and Planning Authority
CBCA	Community Based Conservation Areas
CCF	Chief Conservator of Forests
CEO	Chief Executive Officer
CEPF	Community Engagement Planning Framework
CREFLAT	Climate Resilient Forest Landscape in Tripura
DAC	Development Assistance Committee
DFO	District Forest Officer
DPGB	District Project Governing Body
DPMA	District Project Management Authority
EIA	Environmental Impact Assessment
EPA	Entry Point Activity
E&S	Environmental and Social
ESCAP	Environmental and Social Code of Practice
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
ESS	Environmental and Social Safeguards (World Bank)
FAO	Food and Agriculture Organisation
FGD	Focus Group Discussion
FI	Financial Intermediary
FPP	Forest Peoples Programme
FPIC	Free Prior and Informed Consent
FRA	Forest Rights Act (<i>The Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006 (FRA)</i>)
GB	Governing Body
GoI	Government of India
GoT	Government of Tripura
GP	Gram Panchayat
GRC	Grievance Redress Cell
GRM	Grievance Redress Mechanism
GRO	Grievance Redress Officer
HH	Household
HWC	Human-Wildlife Conflict
IC	Implementation Consultant
IC & T	Information and Communications Technology
IFAD	International Fund for Agricultural Development
IFC	International Finance Corporation
IFS	Indian Forest Service
IGDCP	Indo German Development Cooperation Project Climate Resilient Forest Landscape in Tripura
ILC	International Land Coalition
ILO	International Labour Organisation
INDC	Intended Nationally Determined Contribution
IP	Indigenous People/s
IPLC	Indigenous Peoples and Local Communities
IPP	Indigenous People's Plan
IWGIA	International Work Group for Indigenous Affairs
JFM	Joint Forest Management
JFMC	Joint Forest Management Committee

JICA	Japanese International Cooperation Agency
KfW	Kreditanstalt für Wiederaufbau
LAVDP	Landscape Approach to Village Development Planning
LRP	Livelihood Restoration Plan
LRPC	Livelihood Restoration Plan Committee
MGNREGS	Mahatma Gandhi National Rural Employment Guarantee Scheme
MoEFCC	Ministry of Environment, Forests and Climate Change (GoI)
MPCDA	Medical Plants Conservation and Development Areas
MRE	Monitoring, Reporting and Evaluation
NTFP	Non-Timber Forest Product
NRMST	Natural Resources Management Society Tripura
OBC	Other backward Castes
OHS	Occupational Health and Safety
PAPs	Project Affected Persons/People
PBR	Peoples' Biodiversity Register
PD	Project Director
PEA	Project Executing Agency
PES	Payment for Ecosystem/Environmental Services
PESA	Panchayats(Extension in Scheduled Areas) Act
PMA	Project Management Authority
PRA	Participatory Rural Appraisal
PVTG	Particularly Vulnerable Tribal Group
PwD	Person with Disability
RMR	Regular Monthly Report
SC	Scheduled Castes
SEP	Stakeholder Engagement Plan
SHG	Self Help Group
ST	Scheduled Tribes = Indigenous People/s
SWC	Soil and Water Conservation
TA	Technical Assistance
tbd	To be discussed
TO	Technical Officer
TFD	Tripura Forest Department
ToR	Terms of Reference
ToT	Training of Trainers
TTAADDC	Tripura Tribal Areas Autonomous District Council
UN	United Nations
UNDG	United Nations Development Group
UNDRIP	United Nations Declaration on the Rights of Indigenous Peoples
VC	Village Council/Committee
VCW	Village Community Worker
VDC	Village Development Committee
VDP	Village Development Plan
VDPIC	Village Development Planning and Implementation Committee
VTC	Vocational Training Centre

Definitions:

PAPs In the event of taking up areas that are used for traditional livelihoods such as Jhum farming / NTFP collections etc. (irrespective of the legal status of the land), which is stopped through project activities, the persons involved in these activities are called Project Affected Persons or PAPs.

Executive Summary

1. Introduction CEPF / ESMF Approach and Project Background

Approach and Methodology

This report contains the **environmental & social safeguards and stakeholder engagement mechanisms** for the Project Climate Resilience of Forest Ecosystems, Biodiversity & Adaptive Capacities of Forest Dependent Communities – CREFLAT.

Main sub-documents of the report are the **Community Engagement Planning Framework (CEPF) and the Environmental and Social Management Framework (ESMF)**.

Pivoting on the real-time analysis of the project area, this CEPF describes how to inform and involve project stakeholders and Project Affected Persons (PAPs) in project activities and the ESMF provides guidance how to address potential adverse social and environmental impacts of project activities. The documents comprise targeted measures for community engagement as well as avoidance, mitigation and compensation measures for environmental and social impacts (as appropriate and in accordance with KfW's Sustainability Guidelines 2021 and the World Bank's Environmental and Social Standards (ESS, 2018) as well as National Legislation.

The CEPF focuses on stakeholder engagement and FPIC on access and use restrictions (procedural and distributive justice and recognition of rights), whereas the ESMF focuses more on the investment related project activities (occupational health and safety, waste management, pollution prevention etc.).

The CEPF includes a Free Prior and Informed Consent (FPIC) process guideline, to ensure involvement of land users and neighbours of project areas in decision making in a context of Indigenous People's (IP) communities. As the project also involves mixed communities, the FPIC process shall also apply to them. In the context of nature conservation/NRM projects KfW usually applies FPIC to IPs and local communities (IPLC) alike. In order to comply with this good practice, the FPIC approach (FPIC steps) shall be used for all project communities.

It also includes a Grievance Redress Mechanism (GRM) to ensure that complaints can be raised and answered appropriately, as well as a preliminary Stakeholder Engagement Plan (SEP) to support management of communication activities and involvement of all primary and secondary stakeholders including women and vulnerable PAPs.

The ESMF includes a preliminary environmental and social screening to identify the relevant potential impacts of project actions and provides appropriate E&S Management tools as well as provisions for individual Livelihood Restoration Plans (LRP) for PAPs. The LRPs are to support development of alternative livelihoods in compensation for access and use restrictions, which lead to economic losses for users of lands, where project activities are undertaken including forest lands, PAPs are evident. To address these issues, plantations in forest land and private land (including patta land) would include fruit trees, fodder trees, and NTFP species that can support sustainable livelihood for communities. Alternative livelihoods would also be explored to secure through convergence of programs from several line departments (such as agriculture, animal resources, fishery, tribal welfare, etc) for which project will need to facilitate apart from activating VDPIC/Panchayat to seek other public programme support.

This CEPF-ESMF as well as the tools and guidelines presented in the Annex constitute an extensive update and revision of the existing project frameworks, which were established in IGDC phase 1. The

present document incorporates the relevant content of the former documents and it is therefore recommended to substitute the old set of E&S frameworks and tools with this document including the Annexes. The following table visualizes the CEPF/ESMF approach:

Table 1. CEPF/ESMF Approach

Community Engagement Planning Framework (CEPF)	Environmental and Social Management Framework (ESMF)
<ol style="list-style-type: none"> 1. Introduction workshop in village community and explanation of the project and the agreement to cooperate; consultations, (FPIC 1) 2. Community internal deliberations and decision making on cooperation with project; (FPIC 2) 3. Baseline Study and Participatory Rural Appraisal (PRA) with village groups (involving IP, women groups and vulnerable people) (FPIC 3) 4. Participatory Development of Village Development Plans (VDPs) (community involvement in VDP development incl. IP, gender & vulnerable people); Inclusion of Livelihood Restoration Plans (LRP) LRP components for affected vulnerable resource users (economic displacement); (FPIC 4) 5. Development of community agreements to implement VDPs (FPIC document) (FPIC 5 / signed FPIC document) 6. Participation / Involvement in project implementation of selected activities from VDP including implementation of ESCOPs (FPIC 6) 7. Implementation of Grievance Redress Mechanism (GRM) ensures the feed-back from the communities to Project) (GRM to start with PRA & continued throughout project); 8. Other Stakeholder Engagement Planning (→ SEP). 	<ol style="list-style-type: none"> 1. Screening of ES risks in project planning 2. Development of categories of eligible measures in Microplanning, Gender components 3. E&S Scoping of planned activities (E&S impact avoidance in planning and through appropriate mitigation actions) 4. Formalised Environmental and Social Standards (ESS) for the project through appropriate tools e.g., checklists/ ESMPs to be included in conservation agreements and applied during implementation of activities; 5. Monitoring of E&S impact (reporting, studies, remote sensing) 6. E&S Capacity building – local, national

Both CEPF and ESMF safeguards shall be as much as possible integrated into the planned project activities as practical support tools to make the project more successful and sustainable. Moreover, all participatory planning guidelines should be in sync with the CEPF/ESMF guidelines.

Project Description

The project Climate Resilience of Forest Ecosystems, Biodiversity & Adaptive Capacities of Forest Dependent Communities (CREFLAT) is implemented by Tripura Forest Department (TFD) with consulting support by the GOPA / DFS consortium and funded by KfW. The objective of the Project is to contribute to a reduced forest degradation and increased incomes of people in Indian NE Region, this being a target of KfW's Climate Change Adaptation Programme in the Himalaya.

The **objective of the project** is to make forest landscapes in Tripura more climate resilient.

The **specific outcomes** of this project to be achieved in the project area within the proposed 7-year duration from 2020 to 2027 are:

- 1) Participatory village-based landscape planning system developed and implemented
- 2) Climate resilient forest land management implemented
- 3) Measures for mitigating adverse climate impacts on biodiversity applied

- 4) Natural resources products processing and marketing supported
- 5) Forest sector enabling environment supported.

CREFLAT is designed as a 7-year (2020-2027) project to benefit at least 130,000 of mainly tribal / indigenous people's households living in forest fringe areas in 191 villages (Up to) in Dhalai and North Tripura districts. The project has some commonalities in terms of plantations with the previous NRM-focused Indo German Development Cooperation Project in Tripura (designated here as IGDCP I) with similar measures of VDPIC as the village-level institution and partly similar villages. Of the 191 project villages, 70 villages were covered during the IGDCP I, which are also part of the project activities in the IGDCP II - now under the title CREFLAT project for the second phase. A Feasibility Study for this Second Phase was prepared in 2018. The project is implemented in two districts of Tripura, Dhalai district and North Tripura, with majority of villages situated in Dhalai (151 villages) compared to North Tripura (40 villages).

The following figure shows a draft project schema for CREFLAT project developed in November 2022. The project schema includes the steps for CEPF and ESMF.

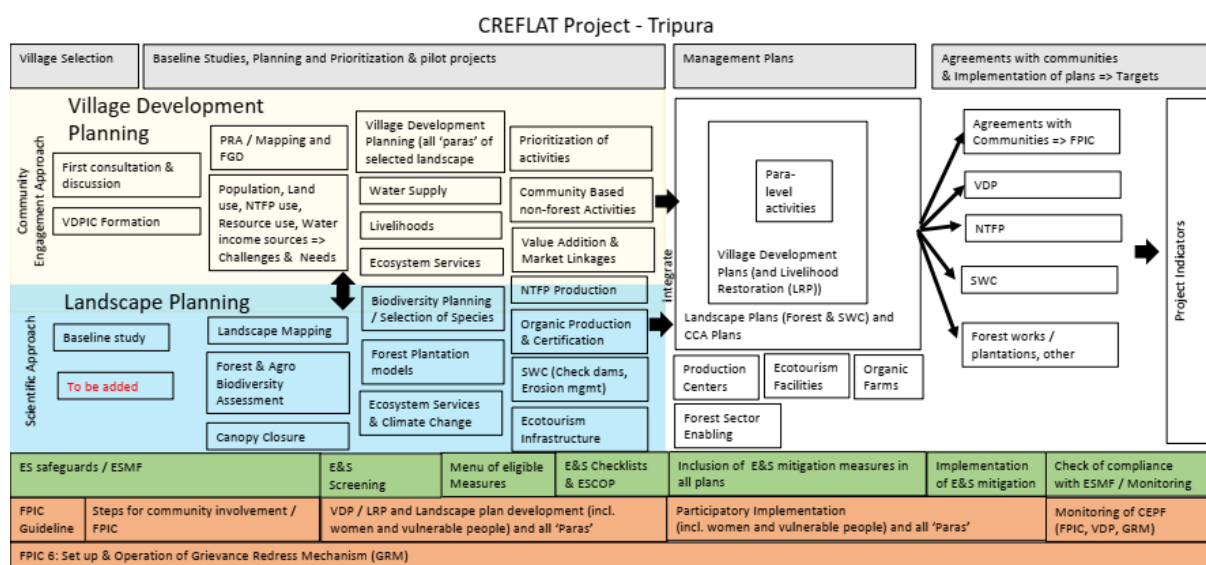


Figure 1: Project Schema

Legal Framework and Gaps

For the Project, both the National Indian and Tripura State legislation as well as the international standards are relevant. The Legal Framework Analysis includes summaries of the main environmental National legislations, the applicable international environmental and social safeguard standards (especially KfW Sustainability Guideline 2022 and World Bank ESS 1-10) as well as a comparison between both, which is made to assess where gaps need to be addressed. It must be ensured that in case of differences the more stringent of both legal frameworks must be applied.

Main gaps are identified from Gol and Tripura legislative texts of detailed standards and procedures to ensure FPIC of PAPs. There are also some gaps in implementation of existing laws and regulations. Especially, the engagement process of PAPs (including women) that are non-titled users of forestlands needs to be strengthened to comply with international Standards of KfW Sustainability Guideline (with reference to WB ESS) need to be implemented.

Institutional Set-Up

The project is implemented by the Project Management Authority (State Level located in Tripura Forest Department (TFD, Gandhigram Agartala). Tripura Forest Department implements through

Natural Resource Management Society (NRMST) with District Project Management Authority (DPMA) in the two Project Districts. Implementation on the village level is done by Joint Forest Management Committees (JFMC) and Village Development Plan Implementation Committees (VDPIC). The PMA is consulted by the Technical Assistant (GOPA/DFS) and cooperates with other Government Institutions as well as non-state actors. As per Separate Agreement, the forest-based activities of project are to be implemented through JFMCs. Accordingly, since all the activities have been taken up so far on forestland and therefore, done through involvement of concerned JFMCs after taking their due consent in the form of written resolutions. Starting from 2023-24 certain project activities may get taken up outside the forestland for which the mechanism of VDPIC will be used as per the provision of Separate Agreement.

Project Stakeholders

Project Stakeholders are all persons and institutions that have to do with the project to varying extent, they may be directly involved in project activities or positively or negatively affected by the project activities and outcomes, or they may be directly or indirectly affecting the project either facilitating or hindering project success. In addition, stakeholders are interacting among each other, thus creating more or less a complicated social web, in which the project activities are implemented. Stakeholders thus need to be informed, consulted, involved, motivated, coordinated, convinced etc. in order to reach project objectives efficiently and effectively.

The following figure shows a preliminary and general stakeholder chart and visualizes some potential interrelations:

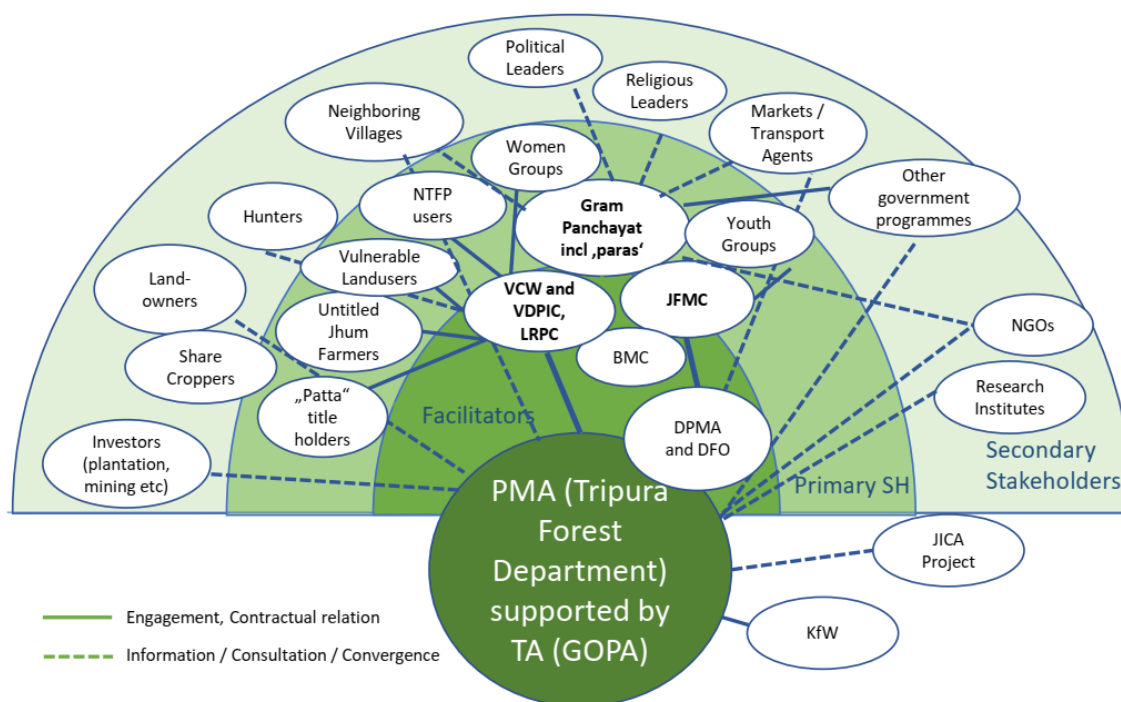


Figure 2. CREFLAT Stakeholder Analysis Diagram.

The chart shows that the village leadership in form of Gram Panchayat or Village Committee (village including sub-settlement structures as paras and hamlets) is a central community institution for the project with a connecting and decision-making role. The main project facilitating institutions at village level are the JFMCs for the forest related activities and the Village Community Workers (VCW) and the Village Development Plan Implementation Committee (VDPIC) for the community activities. It appears that in order to be effective, the VCW and VDPIC need to be well coordinated with the JFMC at village

level. This is to avoid duplication and that no lack of tasks in community engagement occurs – especially related to the community / PAP engagement process for plantation activities in forestlands.

As a living document, the CEPF can be updated as per requirements, when results from baseline study and PRA assessments are available e.g., during a subsequent implementation training or monitoring mission.

Socio-economic Baseline Analysis

The socio-economic baseline assessment is not yet completed for the project. Village Profiles of the visited villages during Field Visit in August 2022 are presented in the Annex. The current preliminary baseline analysis has put a focus on gender disparities and participation possibilities for women and the situation of indigenous people (ST) and other vulnerable groups (Scheduled Castes - SC / “Other backward Castes” – OBC). In addition, the settlement pattern, landholding and land use structure as well as the challenges and opportunities resulting from this complex setting are briefly assessed. A summary of main points is presented in the following:

- Majority of settlement are in or adjoining forestlands and the populations in the village are dependent upon these lands for their livelihoods and nutritional supplements.
- Forests, even if located within a settlement (“para”) may be used for NTFPs by persons from other paras. However, consultations on the plantation and management of the lands identified under the JFM may not include paras not covered under the forest area. Overlapping land uses and land claims need to be identified and consultative processes need to be undertaken with neighbouring settlements to minimize/exclude conflicts related to land-use and resource use. Baseline assessment and participatory mapping shall put a focus on this issue.
- Lands often have low productivity. There is negligible land area for valley cultivation and therefore knowledge of settled agriculture is low. Equally, for *patta* agriculture, and agriculture in FRA/TFD allocated lands, knowledge is limited for improved agriculture practices or to support manage soil health, with the Forest Department also not having the knowledge to create capacities on issues related to private land or agriculture land management. Appropriate trainings are recommended and convergence to be sought actively.
- Large number of families have yet to get forest ‘*patta*’ land (land for sustainable livelihood use) allocated in practice / in the field. Although *pattas* have been allocated under FRA 2006, and the allottees are aware of them, they do not have any papers that officially recognise them as landowners / titled users of the allocated lands. Many of those who have *patta* papers, are yet to be allotted the forestland in the fields with demarcated boundaries. Therefore, they continue with jhum cultivation. The allocation of ‘*patta*’ land needs to be coordinated with project activities especially if forestlands used for jhum cultivation are concerned. If possible, the project (PMA) shall request the responsible authorities to speed up the process (papers for official recognition) for the project villages. Lands in process of conversion
- Within the villages, there is an interest in plantation crops like rubber and areca nut. Therefore, even for plantations on forest *pattas*, where allocations have been made, this can be a preferred crop. However, both these may have an impact on local biodiversity and also a larger impact on the landscape and ecosystem services, which needs to be well understood in every landscape and managed in order to avoid monocultures, water scarcity and over-production of same cash crops with negative price impacts.
- Non-affordability or the lack of availability of plantation materials means that people highly depend upon the forest department for the management of the forestlands, and some plantation activities that the people may consider near their fields or in home gardens, such as areca or fruit trees, are not possible to undertake. Presently, many of the seedlings cost around Rs. 60 to 100 for an individual seedling, and this is very expensive for most people in the villages. The provision of materials and services for such plantations with people at nominal costs should therefore be facilitated.

- Most of the decisions on plantation and management activities are done by JFMC members. According to PMA information, almost all villagers are members of JFMC. The plantations on forest land are to be maintained by JFMC. Also, for each activity, a resolution is taken. The consultations are seen as extensive within JFMC and village community.
- Women are always part of every meeting at JFMC or VDPIC level. However, the challenges faced are more in terms of time constraints and ability to attend meetings regularly, due to their additional roles and responsibilities within their households / communities. It is good practice to ensure that timing of the meetings is considered based on the availability of the women.
- Most settlements ("paras") in the area suffer from limited access to basic infrastructure like drinking water, health facilities, schools beyond the primary level, roads, and markets. During discussions in the villages, some of the demands of the villagers also included need for all weather roads, availability of water facilities in the paras, and roadside sheds for resting for those going to the local markets. Another concern identified was lack of adequate livelihood opportunities within the village. This was an issue specifically highlighted by women, who were interested in a variety of activities like weaving, broom making, piggeries and goat rearing, fishery, and areca plantations. While some of these (such as piggery, goat rearing, fishery, weaving) may be addressed through convergence with public programmes, others (such as arecanut and broom plantations) could be funded by the project based on agroforestry models.
- A number of project villages are inhabited by members of Reang tribe, who are classified as PVTG. If they are in the village where JFM activities are carried out, they are also then a part of the JFMC. In general, the Reang community and other tribal groups practice jhum cultivation in forests, and therefore are to be considered as impacted by any project activities that may induce physical or economic resettlement under FRA 2006. They also collect NTFPs to supplement their diet and for their livelihood. Hence, they must be included in all decision-making processes, and the consultation process during village planning, should include them. Furthermore, they will require support to establish their agricultural fields on '*patta*' land (→forestlands with regulated activities), to ensure proper soil and land management of these lands.
- Even if there are NTFPs or other products produced to be sold, there is limited knowledge for value addition, and markets are usually at a distance, with access limited due to poor infrastructure. Appropriate capacity building including value addition, financial literacy and business planning need to be included.
- With forestry as its focus under the guidance of the Forest Department and with leadership from the village, existing degraded forests can be improved and villagers can have better harvests of NTFP, for both personal need and income generation. The promotion of a systematic approach to improved and sustainable NTFP collection in the villages would be useful.
- This project provides a number of opportunities to improve food security, including ways to reduce the burden of women to collect NTFPs for food. This can be done through the promotion of home gardens. These can support cultivate plants or trees for personal consumption. Given that most people lack cash, some basic support to develop perennial home garden crops may be considered. This will help to reduce time taken to procure food items, address nutritional needs of a family, and reduce the pressure on forests.

The preliminary findings from the field visits in August 2022 and an analysis of challenges and opportunities are described in more detail in Chapter 1.8.

2. Community Engagement Planning Framework (CEPF)

The Community Engagement Planning Framework (CEPF) describes the participatory process of the Project and includes a FPIC Guideline / FPIC steps. A generic Stakeholder Engagement Plan (SEP) for Secondary Stakeholders is also included. The Grievance Redress Mechanism (GRM) set-up and the Implementation Arrangements and -schedule as well as budget provisions are also part of the CEPF, but will also be linked to the ESMF.

The core principles of CEPF are self-determined development, respect for Indigenous and Tribal Peoples' knowledge, cultures and traditional practices that contribute to sustainable and equitable development. The general approach is built on the principles of participatory and co-responsibility of the communities for planning, implementation and monitoring. These principles augur well with the primary goal of CREFLAT, which is to improve the adaptive capacities of the forest dependent communities through improved climate-resilient forest ecosystems and biodiversity enhancement.

Free Prior Informed Consent (FPIC) Process Guideline

The FPIC process guideline is a major component of the CEPF chapter. It describes the process of involving the target communities and reaching agreements with the target group and with PAPs including users from other paras using community lands of target communities. FPIC will be applied to all participating communities (Indigenous Peoples and Local Communities, IPLC) disregarding their ethnicity and will have a strong focus on the most vulnerable and affected people;

FPIC is often misunderstood as one-time action, during which the community leadership signs a pre-meditated form, declaring the agreement of the community with project activities. This is usually done in form of a MoU based on the intent of the project before the start of project activities. In the case of CREFLAT, which needs to comply with international standards of FPIC, this is not accepted as sufficient. FPIC process in case of CREFLAT is outlined in the following. The word "prior" should not mislead the project to believe that all actions of FPIC have to be implemented before start of the project. The important point is that the process of community consultation must be started before the project and activities are implemented based on consent of the beneficiaries / PAPs.

FPIC is an on-going process, beginning with the first encounter with a community until the completion and evaluation of activities. Throughout planning, implementation, monitoring and evaluation the FPIC process is used to decide upon activities, including reconsideration and modification of some decisions or corrective actions in response to insights and adaptive learning, prompted by implementation experiences and monitoring and evaluation. FPIC must therefore be continuously affirmed at various points in planning, as illustrated in the figure below. The FPIC steps are explained in more detail in Chapter 2.3.

The target of the FPIC process is to involve all directly and indirectly affected persons in local communities from start to end of the project according to the principles of FPIC. It applies to all land-based and livelihood investment activities. It is to be noted that the FPIC process is not only limited to allocated forestlands e.g., "*patta*" lands, but to all lands on which project activities are implemented. In addition, the involvement of women / women groups and vulnerable community members is crucial. This also includes users from other paras using community lands of target communities.

The FPIC process will follow the steps visualised in Figure 3.

The FPIC process includes several steps where communities, specific community groups and especially affected persons are informed and after internal deliberations can agree to cooperate with the project and to implement the selected project activities. All agreements steps need to be documented, including potential individual dissenting opinions. The main/central FPIC agreement that should be signed by the communities is about the implementation of the VDPs (selected measures of the VDPs). It is thus not done in the beginning of the project, but before physical implementation. This agreement needs to be in local language and comprise all necessary information on the selected activities including the budget, time frame, their potential benefits and negative impacts as well as how

these will be mitigated. It will also include the measures of the Livelihood Restoration Plans (LRP)¹ if applicable. The discussion / decision-making process and its results need to be documented (including pro- and contra views).

The FPIC process will be led by the technical staff and the Village Community Workers (VCW) employed by DPMA. Additional trainings will need to be organized so that they can implement the process and include all provisions of the CEPF incl. FPIC process, LRP development integrated into VDP, GRM etc.

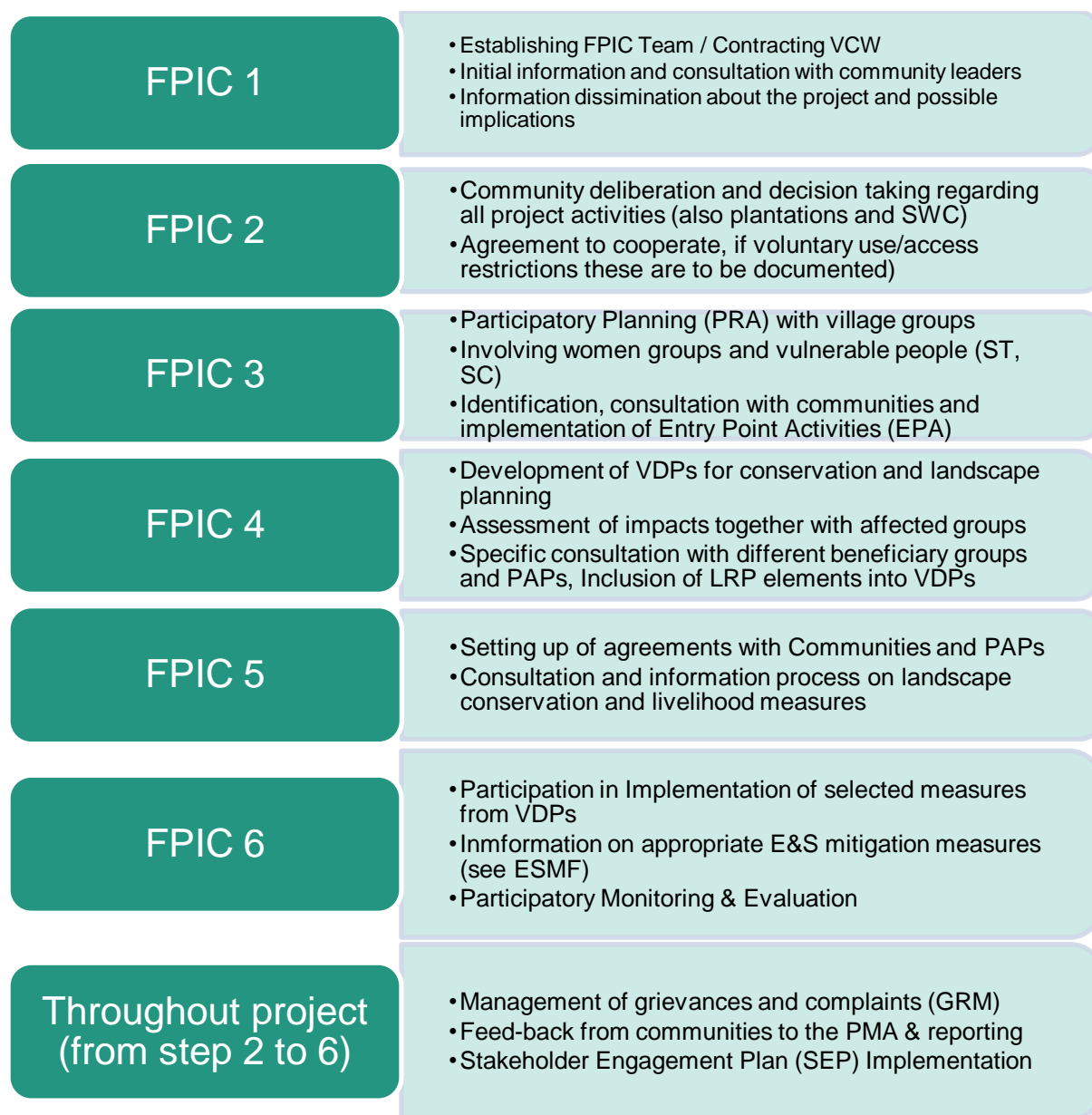


Figure 3. FPIC process flowchart.

FPIC Equivalence of first activities before Consultant On-boarding

Planting and SWC activities were partly carried out on state owned forestlands (Forest Department Lands) during 2021-22, before the required safeguards were in place. In the villages visited, during the site visit no complaints / grievances and no economic displacement was discovered and communities

¹ LRP is required when vulnerable people are affected in their livelihoods through project activities. The project does not want to make any people or poor people poorer and disadvantaged.

had been informed in prior and activities implemented by JFMCs with contributions of village residents. However, the assessment could not be made for all villages and especially in (former) Jhum areas, plantations may have led to livelihood losses of former users. This should be clarified by the PMA. For the activities that were undertaken in 2021-22 before consultant on-boarding an assessment table was suggested, however not yet completed by the PMA. The suggested table would cover the following topics:

- Name of village / para (incl. differentiating if several JFMCs exist per village)
- Population data (No. of persons and HH), Ethnic Groups (which?), mixed/homogenous village
- Statement if continued Phase 1 or new Phase 2 village
- Activities undertaken (2021/2022), differentiated in plantation works, SWC works (check-dams) other?
- Differentiation if activities were done at new sites or at existing sites of phase 1 (rehabilitation works)
- Assessment if land-use by people was present in the areas of works (e.g., plantation sites) and specification which activities and by whom?
- Livelihood priorities identified by communities (men/women)
- Village institutions that were already formed VDPIIC
- FPIC process => which consultations, information sessions, agreements were done
- Names of responsible Forest officers, Village Level Workers and VDPIIC members

This table will help to assess the status quo and if additional, specific livelihood restoration activities will be required in these villages to be included in VDPs.

Women involvement / Gender aspects:

The involvement of women / gender mainstreaming in the project is planned in the following way.

There are clear-cut provisions of gender mainstreaming in the constitution of JFMCs (50%) as well as VDPIICs (50%) which are primarily involved in implementation of most of the land-based activities. In other project activities also(including staffing), fair representation of both genders is being taken care of:

- 1) 50% women representation in each JFMC
- 2) 50% women representation in each VDPIIC
- 3) Minimum 33% women representation in each Monitoring sub-committee
- 4) About 40% women representation in engagement of VCW
- 5) 50% beneficiaries to be women for all beneficiary-oriented project activities

The importance of representation of women in public discussions and in decision making about project activities will be further emphasized in VDP and FPIC trainings.

Avoiding Elite Capture and Control:

Elite capture and control (such as by the members or key office bearers of VDPIIC or panchayat/VC members from the community) as well as manipulation and intimidation will be avoided in the FPIC process ("hijacking" by certain interest groups) as much as possible. In a strongly hierarchical context within the village society, this aspect deserves a good strategy. This is proposed to be done via several steps in the process: The first step is awareness raising during trainings of VCWs who have the role of FPIC facilitators in the communities. The objective of support to vulnerable PAPs and inclusion of women are clear goals that are theoretically shared by all stakeholders, including the Village Leadership. In this context, facilitators receive respective trainings before entering the field and throughout the FPIC process (step 1-6) and are monitored by the project team (IC). Secondly, a focus on activities through which the entire community / all participating households can benefit is

recommended. Thirdly, a focus on community solidarity activities can be introduced, whereby the community is asked to suggest livelihood activities that particularly focus on vulnerable community members. Whilst the Village Community Workers (VCW) may not be totally considered a neutral party in the process, they are supportive of the community and play a vital role as bridge between the TFD and the communities. A support by the Implementation Consultant through training and monitoring is proposed.

Livelihood Restoration Plans (LRP)

The objective of the LRP is to support PAPs, who lose means of their subsistence as well as income generation opportunities through the project with appropriate measures to enable them to recover these losses in an alternative, more sustainable way. This is particularly relevant for all vulnerable affected households. Livelihood Restoration Plans (LRP) are viewed as the appropriate project tool to compensate affected persons' losses through alternative livelihood means.

The tool of LRP is proposed to identify these persons and understand if they are eligible and what they are entitled to receive in compensation of lost assets and how they can be involved in re-developing their livelihoods in a sustainable way.

A general Process Framework (PF) for the project was developed during the Feasibility Study. Rationale for the PF is that the project may require some land acquisition to implement community livelihood activities or infrastructure development and/or induce use- or access restrictions of current users of forest plantation areas or other project work sites e.g., for Soil and Water Conservation Measures. Susceptible activities could be the demarcation of new biodiversity corridors, forest rehabilitation areas and insect fields (or the expansion and enforcement of existing ones), natural resources, and services (e.g., medicinal plants, fodder, firewood or other forest and non-timber forest products). The rationale for the PF was that at the time of the FS it was assumed that access and use restrictions would fall on PAPs involuntarily. However, the new understanding is that PAP would have to agree on these restrictions voluntarily and if they do not agree project activities would have to be changed. This triggers a CEPF including LRP provisions and not a PF any more.

LRP provisions will be included into the VDPs and take into account the priorities of the affected households. This means that the project will have to include additional livelihood measures (land-based or non-land based) for households who are negatively affected by project activities (e.g., use and access restrictions) and eligible to receive the benefits of LRPs. LRPs should focus on PAP and most vulnerable groups, including corresponding success indicators for implementation Monitoring, Reporting and Evaluation (MRE). As a general principle, if in the unlikely case that people without formal use rights are using governmental lands for subsistence purposes and that the project decides to restrict their practices, the project will need to provide sufficient livelihood restoration measures to these people so that they can recover potential livelihood losses somewhere else.

There could be a range of livelihood activities, from which affected households can choose. The livelihood activities shall then be monitored if successful. The project will need to identify and monitor all project sites (villages / paras) where people's existing land-use activities will be affected by project activities. This will need to be documented and appropriate compensation measures / alternative livelihood measures included in the LRP section of VDPs.

Chapter 2.4 discusses up the relevant provisions for the development and implementation of Livelihood Restoration Plans (LRP) as an element of the VDPs.

Grievance Redress Mechanism (GRM)

The Grievance Redress Mechanism (GRM) is the project specific tool to get to know about problems in the project and potential complaints of community members or other stakeholders; and to register, respond, and solve the underlying problems, conflicts etc. The GRM also includes documentation of

the process of complaint resolution. Conflicts may appear first at community level and be solved by the traditional arbitration and mediation process in each village, which involves the village committee at settlement or Gram Panchayat level. However, if a problem persists and/or cannot be solved by the village leadership, the project needs to know about it and be able to respond and solve the problem in a coordinated way.

At the village and “para”-level the complaints will be collected by the Livelihood Restoration Planning Committee (LRPC), which is a sub-committee of the VDPIIC. The complaint will be reviewed at the village level itself, and if possible, resolved within the village itself. This process will be supported by the VCW and TA, who will also support with the documentation process required for the grievance management. In case, the complainant is not satisfied with the resolution, then the complaint will be sent to the Block level, which is the identified Block Level Grievance Level Committee, headed by the Ranger. Any complaint not resolved at this level is then to be sent to the DFO for a resolution. Above this, at the District Level is the DPMA, who have a GRM officer, who is designated and accessible (can be joined by phone) to handle complaints still not resolved and to document the grievance redress procedure. This GRM officer shall also periodically collect the grievances that may appear in the villages and makes sure that the issues are properly addressed, including an initial response within a week and who pushes forward the resolution process to reach a solution with the aggrieved person(s).

Stakeholder Engagement Plan (SEP)

The SEP is a management tool that enables the project to plan and monitor all stakeholder information, consultation and involvement activities and make sure that no stakeholders are left out and all affected groups are reached. Additionally, the plan enables an appropriate time-management of consultations and can be included in the project work plans at each level.

- Update the Stakeholder Engagement Schedule to include specific dates and/or frequency of meetings and consultations.
- Identify the key stakeholders who will be included in each meeting and consultation.
- Create a more detailed description of consultations and discussions that will occur.
- Provide details of Stakeholder Engagements to date including detailed appendices and annexes if appropriate.
- Develop a detailed sub-section describing how Stakeholder Engagements will be monitored and recorded in a way that ensures quality control and assurance.

If there is a need, trainings for stakeholder engagement, how to plan stakeholder engagement at village level, how to conduct stakeholder meetings and ensure documentation of process and results should be organized.

A generic SEP table is provided in Chapter 2.6.3. It should be updated with the appropriate timeframe and actions. Hence CEPF is not a one-time fixed documents as future learning may need to be incorporated for updating as project planning at village level progresses.

3. Environmental and Social Management Framework (ESMF)

Environmental and Social Management Framework (ESMF)

This ESMF supports the assessment of the risks and potential impacts that may occur during implementation of Project activities. It sets out the principles, guidelines, and procedures to assess environmental and social risks, and proposes measures to reduce, mitigate, and/or offset potential adverse environmental and social impacts and enhance positive impacts and opportunities of the Project and its activities.

The purpose of this ESMF is to provide guidance to project implementation staff, to authorities and local communities as well as to contractors and any other stakeholders participating in planning and implementation of the Project. The ESMF supports the management of potential Environmental and Social impacts of project activities in planning, construction and operation through appropriate management tools.

The ESMF incorporate procedures, measures and general plans for:

- Environmental and social impact screening and –risk categorization, impact assessment and management, and monitoring of interventions planned under the project
- Arrangements for the implementation of the provisions of the ESMF, including E&S risk screening, assessment of impacts, implementation of E&S management measures, monitoring and reporting
- Capacity building measures for ESMF implementation for different stakeholders, depending on the respective responsibilities, tasks and existing capacities
- Supporting material / E&S tools for adequate ESMF implementation (Annex)

The ESMF takes up the elements and replaces the existing ESMF developed during the Feasibility Phase (UNIQUE/GFA, 2019) and harmonizes the approach and measures with the other E&S frameworks and tools e.g., CEPF, LRP, GRM and SEP, in order to avoid duplication and incoherence.

The ESMF required for the Project is designed to be based on the overall program approach to the maximum extent possible. Its objectives and shall be integrated / interwoven with the Project Work Plan.

4. Implementation Arrangements

Organizational Set-up

Main responsible for CEPF and ESMF implementation is the PMA; activities are executed by the TFD / NRMST. Support in form of trainings and monitoring is given by the consultant (permanent project staff and E&S team). The PMA has the overarching responsibility for monitoring and reporting. It is supported by GOPA through verifications and quality-assurance support, including periodical site visits. Progress reports will reflect on on-going corrective actions (where needed), lessons learned and provide an overview of adjustments made to improve the environmental and social management and performance of the Project.

In order to facilitate the PMA task, the following institutional management procedures must be in place of documenting process and recordkeeping related to:

CEPF activities to be documented include:

- Stakeholder assessments
- Information and Consultation Process incl. FPIC
- MoM of stakeholder consultations
- Minutes of meetings, photo documentation
- Documentation of PRA process and results including participatory mapping
- Documentation list of activities to be implemented according to Village Development Plans (VDP) including livelihood restoration plan/measures (LRP)
- Community Agreements of priority actions from VDPs (FPIC)
- Involvement of communities in implementation of conservation measures and LRP
- Information & Consultation of PAPs related to other measures (e.g., afforestation / plantations / SWC, etc.)
- Trainings conducted; information shared

ESMF implementation:

- Training and briefings of ESMF principles and operational procedures, including environmental health and safety (where required)
- Screening and scoping forms for projects according to VDP
- LRP development, implementation and monitoring related to economic displacement (involuntary access restrictions / vulnerable people)
- Mitigation actions pertaining to each community, including ESMPs and ESCOPs (as applicable and determined in scoping)
- Institutional responsibilities for environmental and social due diligence for each community
- Documentation related to voluntary resource restrictions (community consent and signed agreements, if applicable)
- Grievances records for Communities and other interested parties

Capacity Building

In order to implement effectively the required CEPF community engagement and stakeholder consultation activities as well as the ESMF mitigation measures, a number of trainings and E&S support activities are planned for PMA, TA and community facilitators to be implemented by Nat. and Int. E&S experts and other project team members e.g., ACTA. Community facilitators (VCW) are hired by TFD for the implementation of the community engagement approach (e.g., FPIC process, VDP etc.).

In July / August 2022, an initial screening of the Project outputs was conducted together with a field visit to sample project villages. In November 2022 two introductory training workshops on E&S safeguards (CEPF and ESMF), were conducted in the project district headquarters, Ambassa and Dharmanagar. Further trainings on CEPF/FPIC steps, VDP guideline, ESMF tools and monitoring and reporting provisions will be conducted by the IC staff to support the TA and TFD.

The National E&S expert will be involved in providing the trainings to the community facilitators, who will then be involved in implementation at community level.

A hands-on training / learning by doing is recommended for facilitators in the first villages. This will start in early March 2023 by the National E&S expert and accompanied online by the Int. E&S expert, where required.

A next field mission of the Int. E&S expert is planned for fall 2023. A tentative training plan is presented in Chapter 4.2.

The capacity building and training requirements will be shaped according to the needs of the PMA and the local institutions as JFMC, VDPIC in the further course of project implementation.

Monitoring and Reporting

FPIC requires the full documentation of all procedures, information disclosure, discussions, negotiations and decisions throughout the process of community planning, including dissent and failure to reach consent. This will have to be established by the PMA with support from the TA. The project ES Team will periodically monitor the CEPF and ESMF implementation. Monitoring and reporting provisions are described in Chapter 4.3.

Budget

The budget for implementation of the CEPF and ESMF provisions need to be included in the revised project budget sheet. The budget table shows what amounts are allocated from what budget heading

in project plan (see Chapter 4.4). The budget for CEPF and ESMF will need to be updated based on activity planning and it must cover the whole project period.

Time Schedule

The CEPF and ESMF will be implemented during the entire project implementation period. A tentative time-schedule (to be updated) is included in Chapter 4.5.

Adaptive Management / Updates

The safeguard documents, both for Community Engagement and Environmental and Social impact mitigation are developed to allow project management to easily integrate environmental and social issues into project implementation and ensure a good performance of the project.

In order to be well suited to the specific situation and planned project activities, the CEPF and ESMF will have to be updated/adapted within the course of further detailed project planning and Implementation. The project team will provide specific trainings for implementation and supervision. By the end 2023 or first quarter of 2024, sufficient experiences should be available to get inputs that can be used to update CEPF / ESMF etc.

5. Annex

The Annex contains the resources used for the establishment of the report including references, lists of meetings, field visit results. It also comprises recommended E&S screening checklists and management tools (ESMP/ESCOP), GRM forms and templates for monitoring and reporting to be established to comply with the Environmental and Social Safeguard (ESS) requirements of KfW Guideline (2021) as well as National Legislation.

1. Introduction, Methodology and General Background

1.1. Guiding principles and approach of CEPF-ESMF report

This report contains the **environmental & social safeguards and stakeholder engagement mechanisms** for the Project Climate Resilience of Forest Ecosystems, Biodiversity & Adaptive Capacities of Forest Dependent Communities – CREFLAT.

Main sub-documents are the Community Engagement Planning Framework (CEPF), and the Environmental and Social Management Framework (ESMF) including elements of a Process Framework (PF) / Livelihood Restoration Plan (LRP).

The CEPF and ESMF provide guidance on how to inform and involve project stakeholders and how to address potential adverse social and environmental impacts of project activities. The documents comprise targeted measures for community engagement as well as avoidance, mitigation and compensation measures for environmental and social impacts (as appropriate and in accordance with KfW's Sustainability Guidelines 2021 and the World Bank's Environmental and Social Standards (ESS, 2018). Both CEPF and ESMF safeguards shall be as much as possible integrated into the planned project activities as practical support tools to make the project more successful and sustainable.

This CEPF-ESMF as well as the tools and guidelines presented in the Annex constitute an extensive update and revision of the existing project frameworks, which were established in phase 1. The present document incorporates the relevant content of the former documents and it is therefore recommended to substitute the old set of ES frameworks and tools with this document including the Annexes.

The CEPF focuses on stakeholder engagement and FPIC on access and use restrictions (procedural and distributive justice and recognition of rights), whereas the ESMF focuses more on the investment related project activities (occupational health and safety, waste management, pollution prevention etc.).

The objective of the **CEPF** is to ensure that all stakeholders are duly informed and consulted throughout the project as well as that the project beneficiaries, including vulnerable groups, women and Indigenous People are involved in the project in a participatory way according to the principles of Free Prior and Informed Consent (FPIC) and are encouraged to develop ownership and responsibility for management of climate resilient forest and sustainable livelihood activities in the Project landscapes.

The CEPF includes a Free Prior and Informed Consent (FPIC) process guideline, to ensure involvement of land users and neighbours of project areas in decision making in a context of Indigenous People's (IP) communities. As the project also involves mixed communities, the FPIC process shall also apply to them. In the context of nature conservation/NRM projects KfW usually applies FPIC to IPs and local communities (IPLC) alike. In order to comply with this good practice, the FPIC approach (FPIC steps) shall be used for all project communities.

The overall impacts of the Project on the environment and the socio-economic situation of the targeted communities will be positive and beneficial. However, some interventions under the Project may have adverse impacts on the environment and local communities. The objective of the **ESMF** is to ensure that impacts that may arise from project activities, as for example health and safety risks, environmental pollution risks and access restriction risks, are properly mitigated and managed.

The ESMF is considered to be a process document, that is refined and updated in the course of the project and includes capacity building and monitoring elements. Thus, it will support planning of project activities (→Environmental and Social screening/scoping) as well as design and implementation of

detailed Environmental and Social Management Plans (ESMPs) for activities in a specific community context.

The CEPF is expected to be strongly interlinked with the participatory approaches conducted in project communities (e.g., PRA, Village Development Planning). The ESMF is expected to be strongly interlinked with the eligible activities defined in the landscape conservation- and livelihood measures. The ESMF will include Livelihood Restoration Plans (LRP) for vulnerable PAPs, as applicable for involuntary displacement and access restriction impacts caused by project interventions. Physical displacement will be excluded by the project, but economic displacement may occur, especially when the government will impose access restrictions on informally used government lands. For vulnerable affected people appropriate alternative livelihood measures shall be devised in the LRP.

An Indigenous People's Policy Framework is not relevant, as communities are often mixed communities and consequently members of other vulnerable groups e.g., Dalits (SC) may be as much affected as members of Indigenous Peoples (ST) and should not be overlooked by limiting the focus on ethnicity only. Thus, a more general vulnerability perspective is recommended here.

The **report structure** starts with a section on Legal and Institutional Framework Analysis including a gap analysis between national legislation and international safeguard standards. This is followed by a stakeholder assessment including institutional roles and responsibilities and existing government programs in the sector and a general summary analysis of Baseline Conditions in the project districts / landscapes. The main chapters are the Community Engagement Planning Framework (CEPF) and the Environmental and Social Management Framework (ESMF) including the relevant assessments and list of tools and sub-project plans to be established. Further technical chapters are the Grievance Mechanism (GRM) setup, the Organizational Arrangements for implementation and monitoring, the Capacity Building Measures, the Cost Estimates and a suggested implementation schedule.

As CEPF and ESMF are in many ways interlinked and building upon each other, they are developed in a joint document. If required, all parts of this document can be produced as standalone reports, however only with some duplication in general chapters.

In order to be well suited to the specific situation and project activities, the CEPF and ESMF will have to be updated/adapted within the course of further detailed project planning and implementation.

The general approach of CEPF in CREFLAT is based on the principles of Free, Prior and Informed Consent (FPIC) adopting the community stakeholders' participatory planning, implementation and monitoring of the activities. The methodology of community engagement would be through the community meetings for internal consultations and agreements, focus group discussion with particular-interest groups, surveys using standard questionnaire, and mobile-based engagements and communication.

The table (2) below shows the CEPF and ESMF approach of the project. Both processes are interlinked in practice.

Table 2: CEPF/ESMF Approach

Community Engagement Planning Framework (CEPF)	Environmental and Social Management Framework (ESMF)
9. Introduction workshop in village community and explanation of the project and the agreement to cooperate; consultations, (FPIC 1) 10. Community internal deliberations and decision making on cooperation with project; (FPIC 2) 11. Baseline Study and Participatory Rural Appraisal (PRA) with village groups (involving IP, women groups and vulnerable people) (FPIC 3) 12. Participatory Development of Village Development Plans (VDPs) (community involvement in VDP development incl. IP, gender & vulnerable people); Inclusion of Livelihood Restoration Plans (LRP) LRP components for affected vulnerable resource users (economic displacement); (FPIC 4) 13. Development of community agreements to implement VDPs (FPIC document) (FPIC 5 / signed FPIC document) 14. Participation / Involvement in project implementation of selected activities from VDP including implementation of ESCOPs (FPIC 6) 15. Implementation of Grievance Redress Mechanism (GRM) ensures the feed-back from the communities to Project) (GRM to start with PRA & continued throughout project); 16. Other Stakeholder Engagement Planning (→ SEP).	7. Screening of ES risks in project planning 8. Development of categories of eligible measures in Microplanning, incl. Gender & Vulnerable PAPs inclusion s; 9. E&S Scoping of planned activities (E&S impact avoidance in planning and through appropriate mitigation actions) 10. Formalised Environmental and Social Standards (ESS) for the project through appropriate tools e.g., checklists/ ESMPs to be included in conservation agreements and applied during implementation of activities; 11. Monitoring of E&S impact (reporting, studies, remote sensing) 12. E&S Capacity building for TFD, local facilitators –national level, local level

Both CEPF and ESMF safeguards shall be as much as possible integrated into the planned project activities as practical support tools to make the project more successful and sustainable.

- **Community Meetings:** The community meetings would be the primary methods of community engagements in CREFLAT. Given the socio-cultural context, majority of the people in the project areas would prefer community meetings preferably in local language as engagement methods. Such methods provide them with opportunities to express their views openly as well as interacting with each other to seek / advocate opinions. Community meetings should be as inclusive as possible. However, in most cases, people would not dare to contradict the opinion of the village leadership. Women are often under represented. Community meetings will be used to inform and consult with the target group.
- **Focus Groups Discussions(FGD):** Focus group discussions would be held for selected or targeted project participants on specific issues and to cover people that were not heard during the Community meetings. FGD will be used to consult and involve PAPs in a more direct and in-depth manner. Such groups could be those of common interest groups or the community leaders representing the communities, or exclusively the women groups or youth groups, etc. Focus will be also on those who might be affected by any closure of forest areas for use due to project green investment. A focus will be on particularly affected groups, e.g., Tribal people (ST) or Dalits (SC) living in a hamlet of a Project village, women groups, youth groups, people with disabilities other vulnerable people depending on Forest resources.
- **Surveys:** Questionnaire-based surveys are another effective method of community engagement but mainly with the respondents to the questionnaire. Selection of the right

respondents contribute to very effective and active method of engagement with limited number of community members. An example for a survey is the socio-economic baseline survey. Surveys will be used to obtain statistical information and/or measure change over the project period e.g., socio-economic indicators.

- **Documentation of consent and agreements:** The documentation of agreements with communities is required for each step and will be documented in FPIC milestones. A signed agreement is required for implementation of the selected activities from Village Development Plan (VDP) including LRP provisions. This agreement should be made in presence of representatives of village groups and especially in presence of directly affected persons.
- **Grievance Redress Mechanism (GRM):** All potential communication about complaints related to project activities will be made via the GRM. This can be done via phone, GRM forms or during field visits via direct communication. The GRM will be described in the CEPF chapter below.

1.2. Project Description and Background

1.2.1. Project Background

The project Climate Resilience of Forest Ecosystems, Biodiversity & Adaptive Capacities of Forest Dependent Communities – CREFLAT is implemented by Tripura Forest Department (TFD) with consulting support of the consortium GOPA / DFS / DEVOPSYS and funded by KfW. The objective of the Project is to contribute to a reduced forest degradation and increased incomes of people in Indian NE Region, this being a target of KfW's Climate Change Adaptation Programme in the Himalaya.

CREFLAT is designed as a 7-year (2020-2027) project to benefit at least 130,000 of mainly tribal / indigenous people's households living in forest fringe areas in 191 villages in Dhalai and North Tripura districts. The project is a continuation of the Indo German Development Cooperation Project for Climate Resilient Forest Landscapes in Tripura (IGDCP I) with similar measures and partly similar villages. Of the 191 project villages, 70 villages were covered during the IGDCP I, which will be taken up again in the IGDCP II -now re-named CREFLAT project for the second phase. A Feasibility Study for this Second Phase was prepared in 2018.

The project builds on previous experiences in Tripura with IGDC projects in the forest sector but differs significantly from the earlier project. Rather than attempting to enhance local livelihoods directly, the project focuses on the landscape components on which the target group depends – with the aim of enhancing climate resilience and thus enabling forests and other lands to provide better services for resource dependent households. The project is based on the assumption that forgetting better services, households are less likely to continue with practices which degrade natural resources and biodiversity and will be able to develop alternative livelihoods options which reduce their vulnerability. However, in differentiation to the first phase, CREFLAT focuses on strengthening the climate resilience of forest landscapes resulting in reduced forest degradation and increased rural incomes, whereas the previous project IGDCP I primarily aimed to improve the general standard of living of target groups in the project area by improving natural resource conditions.

1.2.2. Project Objective and Outcomes

The objective of the project is to make forest landscapes more climate resilient. The specific outcomes of this project to be achieved in the project area within the proposed 7-year duration from 2021 to 2028 are:

- 1) Participatory village-based landscape planning system developed and implemented
- 2) Climate resilient forest land management implemented
- 3) Measures for mitigating adverse climate impacts on biodiversity applied
- 4) Natural resources products processing and marketing supported
- 5) Forest sector enabling environment supported.

Indicators for this outcome are of two kinds (i) indicators of forest and landscape condition such as area of forest/tree cover and quality of forest resources (growing stock) and (ii) indicators of the services these forest landscapes provide such as incomes for forest dependent households; ecosystem services such as water, flood control, soil conservation and biodiversity.

Table 3: Project Outputs and Activities (Results Matrix)

DC-Programme objective	
<i>Reduced forest degradation and increased incomes of people in Northeast region.</i>	
Project outcome	
<i>Climate resilient forest landscapes in Tripura</i>	
Outputs	
<i>Output 1: Participatory village-based landscape planning system developed and implemented</i>	
<i>Output 2: Climate resilient forestland management implemented</i>	
<i>Output 3: Measures for mitigating adverse climate impacts on biodiversity applied</i>	
<i>Output 4: Natural resources products processing and marketing supported</i>	
<i>Output 5: Forest sector enabling environment supported</i>	
Activities	Applicable E&S Tools
Activities under Output 1 1. Building capacities 2. Preparing planning guidelines and tools 3. Preparing landscape-level participatory village plans 4. Implementing entry-point activities	CEPF/FPIC; ESMF / ESCOP
Activities under Output 2 1. Conserving soil and water resources 2. Enriching natural forests 3. Establishing and managing plantations 4. Protecting forests 5. Producing seedlings 6. Developing local capacities on NR management	CEPF/FPIC; ESMF/ ESMP/ ESCOP; LRP
Activities under Output 3 1. Strengthening community-based conservation 2. Establishing ecological corridors 3. Piloting biodiversity stewardship programmes in farmed landscapes 4. Promoting economic rationale for maintenance of ecosystem services 5. Carrying out inventories, surveys and studies 6. Developing local capacity on biodiversity conservation	CEPF/FPIC; ESMF
Activities under Output 4 1. Provision of technical support services 2. Establishment and strengthening of market linkages 3. Value chain metrics and marketing information system 4. Certification of business entities and selected farm and forest products 5. Provision of sector specific capacity building	SEP, ESMP
Activities under Output 5 1. Developing and implementing Tripura forest sector strategy 2. Developing capacity for Tripura Tribal Areas Autonomous District Council (TTAADC) 3. Developing capacity for key sector stakeholders 4. Providing information and raising awareness 5. Supporting forest sector IC & T 6. Supporting the technical advisory committee	SEP

1.2.3. Project Schema

The following figure shows a draft project schema for CREFLAT project developed in Nov 2022:

Climate Change Adaptation Programme in the Himalaya, Component II: Tripura
Climate Resilience of Forest Ecosystems, Biodiversity & Adaptive Capacities of Forest Dependent Communities
BMZ No.: 2015 67 650 (Grant) & 2015 67 643 (Loan)

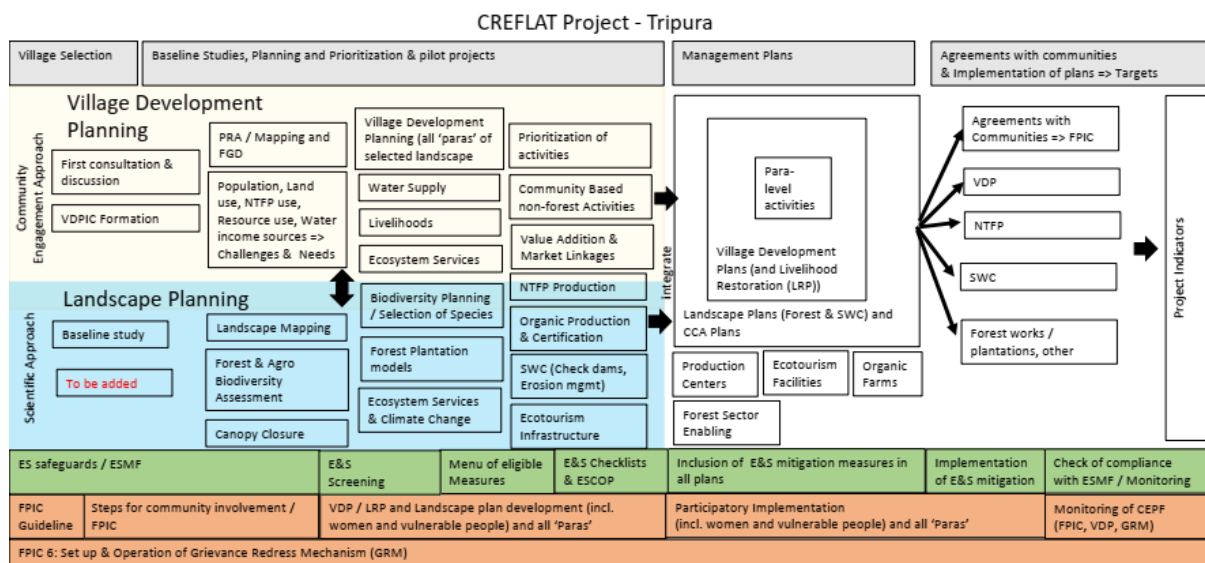


Figure 4. Project Schema.

The project chart integrates the CEPF/ESMF approach and steps.

1.2.4. Project Area

The project is implemented in two districts of Tripura, Dhalai district and North Tripura, with a focus on Dhalai (151 villages) compared to North Tripura (40 villages).

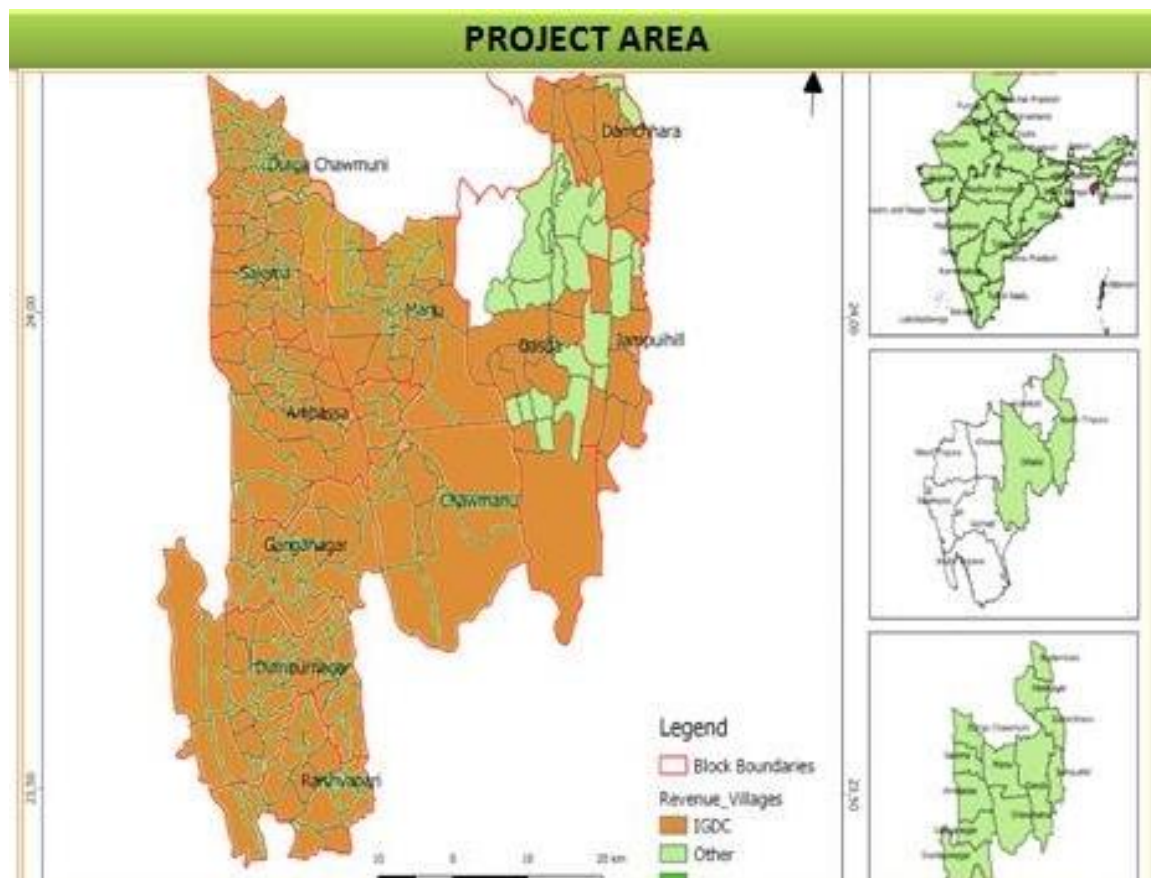


Figure 5. Map of Project Area.

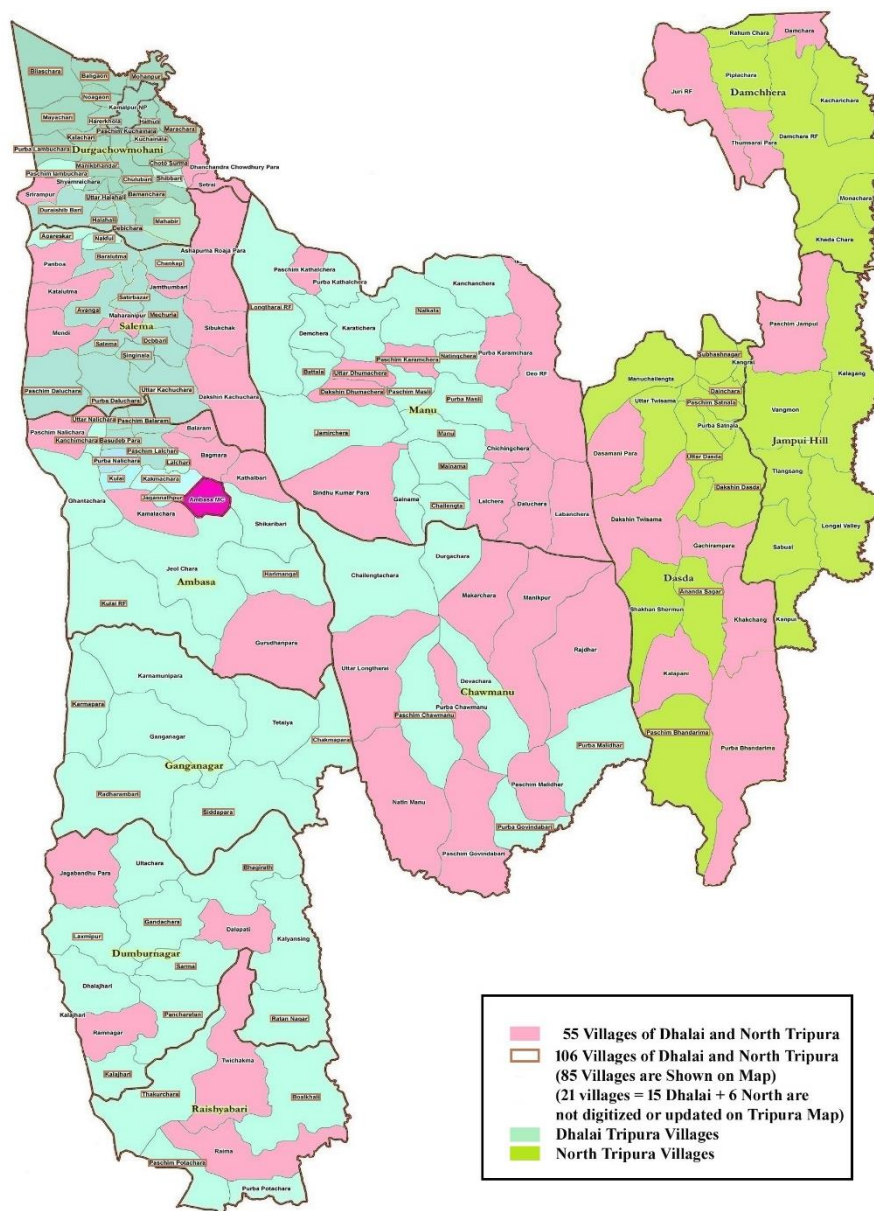


Figure 6. Map of the project villages by districts.

It may be noted that 70 of the villages were covered under the IGDCPhase I (Participatory Natural Resource Management, Tripura during 2008-2017) and now 121 new villages are added.

1.2.5. Description of Project Activities

The following project activities are proposed to address the specific issues that the project area is confronted with.

Table 4: Proposed Project Activities

Issue	Proposed Project action
Unsustainable land-use practices by <i>patta</i> holders	<p>Project will give support for improved and more sustainable land-use practices on three different types of land-holdings.</p> <ol style="list-style-type: none"> 1. Jote land: this is land that has been with the people for a long time, and they have a title. If they want and included in the VDP activities may be undertaken. 2. Punarbasan (resettlement) under FRA 2006, but outside the forestland. This allocation would be on revenue land. Persons receiving this can do what they wish and can be included in VDP. 3. Pattas allocated within forestland boundary. There are limits of activities in this land, due to the location in forestlands. Also given under Forest Rights Act (FRA, 2006). All activities will be based on the VDP to be developed.
Climate vulnerability of degraded forest landscapes	Project planning will identify and implement a 'landscape' approach to land treatment including upstream/downstream linkages, micro-catchments and climate-vulnerable locations.
Poverty and climate vulnerability of forest dependent rural households	Project will support utilisation and market opportunities for natural resources products to maximise opportunities for managing forest and natural resources more productively. It will also enable non-land-based activities to be supported via Village Committees.
Loss of forest land biodiversity and other ecosystem services	Project will support studies to identify specific solutions to biodiversity loss and implementation of recommended actions. At this stage, it is still unclear what these may be. Baseline study is planned to bring more information on land use aspects and ecosystem services across the landscape and direct interface of local communities still dependent on forests.
Degraded forest landscapes	Project will support extensive land-based investments that enhance forest quality and extent.
Inconsistent and contradictory policies and strategies for the forest sector	The Project will support the development of the Tripura Forest Sector Strategy that will give clear long-term direction to forest sector in the light of climate change (Tripura's SAPCC and India's NDCs); safeguarding forest ecosystem services, implementation of the Forest Rights Act (2006); various de-linked strategies (e.g. bamboo, NTFPs, medicinal plants etc.) as well as other strategic areas (such as state coverage of rubber plantations, extent of protected areas, addressing human wildlife conflicts, balance between forest conservation and utilisation etc.).
Stakeholder engagement in forest sector development	Project will support a stakeholder participation process for developing the Tripura Forest Sector Strategy. The project will also strengthen governance institutions for forest planning e.g., at village level through Village Committees and the greater engagement of TTAADC in forest sector at different levels.
Inequitable share of benefits	Project to identify all stakeholders affected by project activities using a landscape approach, and ensure consultation and identify most appropriate actions to minimise/address their concerns as a part of the final plans developed.

The phasing of project villages is indicated below:

Table 5: Phasing of project villages

Districts	Blocks	Total number of villages	NUMBER OF VILLAGES TO BE COVERED		
			Year: 1 (2022-23)	Years: 2 (2023-2024)	Years: 3 (2024-2025)
			Phase I (Start-up / Inception)	Phase II (Planning & Piloting)	Phase III (Implementation)
Dhalai (151 villages)	Ambassa	22	7	13	2
	Ganganagar	7		4	3
	Salema	21	8	13	
	Durga Chawmuni	29	4	25	
	Manu	31	11	17	3
	Chawmanu	14	8	3	3
	Dumburnagar	19	4	13	2
	Raishyabari	8	3	5	
North Tripura (40 villages)	Damcherra	13	3	3	7
	Dasda	20	6	9	5
	Jampui Hill	7	1		6
Total			55	105	31

For further details, refer to the Annex of the first Half Yearly report (2022).

So far, CREFLAT has taken up plantations only on forestland for which the concerned JFMC members are the stakeholders. There is a Stakeholder register for each village, which is maintained at the Range/Beat level. It is proposed to take up other project activities outside the forest land like 3- tier plantation next year (2023-24) for which other Stakeholders would be identified and it is proposed to prepare a detail SEP in 2023-24.

1.2.6. Project Implementation Chart

The project implementation chart shows how the project will be implemented based on the Village Development Planning Process. It includes the decision-making process and the inclusion of E&S impact consideration and mitigation.

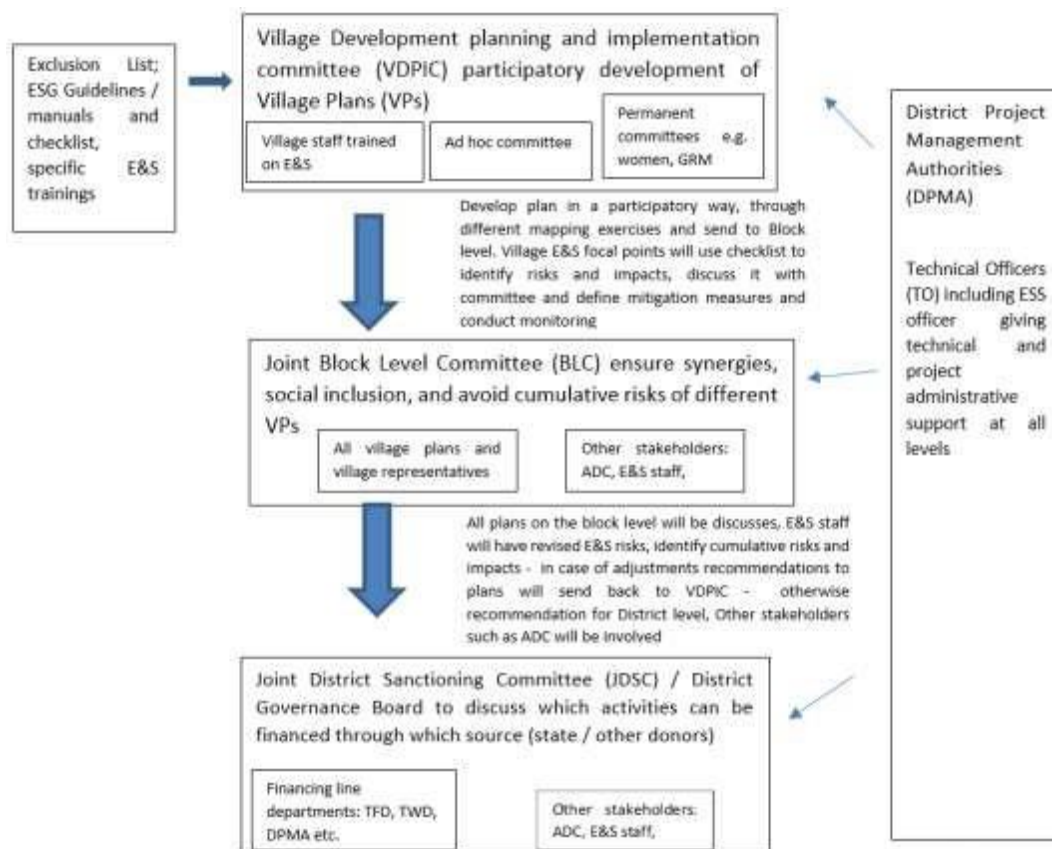


Figure 7. Project Implementation chart.

An updated chart, that includes all project activities (e.g., also all plantation actions) and the different steps of stakeholder engagement and environmental mitigation taken during implementation shall be developed and inserted in an updated version of the CEPF/ESMF.

1.3. Legal Framework Assessment (National Laws and International Safeguards)

For the Project, both the National Indian and Tripura State legislation as well as the international standards are relevant. The Legal Framework Analysis includes summaries of the main environmental National legislations, the applicable international environmental and social safeguard standards (especially KfW Sustainability Guideline 2021 and World Bank ESS 1-10) as well as a comparison between both, which is made to assess where gaps need to be addressed. It is to be ensured that in case of differences the more stringent of both legal frameworks must be applied.

1.3.1. National Legislation

The main Indian National legislative texts are:

- Article 371 A of Indian Constitution
- Panchayats (Extension to Scheduled Areas) Act, 1996 or PESA
- The Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006 (FRA)
- The Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013
- Indian Forest Act, 1927
- Indian Constitutional provision for forest and wildlife
- Wildlife (Protection) Act 1972
- The Biological Diversity Act 2002 and The Biological Diversity Rules, 2004

- Environment (Protection) Act, 1986 and Environmental (Protection) Rules, 1986.
- National Forest Policy, 1988
- Forest (Conservation) Act, 1980 and Forest (Conservation) Rules 2003
- National Environment Policy, 2006
- Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act 2006
- Guidelines for Eco-sensitive Zones, 2011
- Plastic waste (Management and Handling) Rules, 2011
- Batteries (Management and Handling) Rules, 2001
- Payment of Wages Act, 1936, Minimum Wages Act, 1948, Equal Remuneration Act 1976
- Employee's Compensation Act, 1923, Personal Injuries (Compensation Insurance) Act, 1963, Factory Act 1948, and Public Liability Insurance Act, 1991
- Child Labour (Prohibition and Regulation) Rules, 1986
- Child and Adolescent Labour (Prohibition and Regulation) Act, 1986
- The Sexual Harassment of Women in Workplace (Prevention, Prohibition and Redressal) Act, 2013
- Ancient Monuments and Archaeological Sites Remains Act, 1958, Ancient Monuments and Archaeological Sites and Remains Rules, 1959, Indian Treasure Trove Act, 1878 and their amendments
- The Occupational Safety, Health and Working Conditions Code, 2020
- The Unorganised Workers' Social Security Act, 2008

Government of India regulations on consultations, such as the EIA regulation, do not apply to the sort of activities planned under the project from National Legal perspective.

Relevant Tripura State legislations are:

- Tripura Occupational Safety, Health and Working Condition Rules, 2022 (draft rules)
- Tripura Payment of Wages (Procedure) Rules, 1960
- The Tripura Minimum Wages Rules, 1952
- The Tripura Unorganized Workers' Social Security Rules, 2010

No regulations relating to environment issues found on the official government of Tripura website. In the areas visited during the recent field visits, the legal status of the land is forestland. However, the baseline study may be able to provide further information on this matter.

The content and relevance of the legal texts is summarized in the Annexure.

1.3.2. International Safeguards

The relevant international environmental and social safeguards applicable to the project are summarized below.

KfW's Sustainability Guidelines (2021)

Guidelines commit to:

- Avoid, reduce or limit environmental pollution and environmental damage including climate-damaging emissions and pollution;
- Preserve and protect biodiversity and tropical rainforests and to sustainably manage natural resources;
- Consider probable and foreseeable impacts of climate change including utilizing the potential to adapt to climate change. In this context climate change is understood as climate variability and long-term climate change;

- Avoid adverse impacts upon the living conditions of communities, in particular indigenous people and other vulnerable groups, as well as to ensure the rights, living conditions and values of indigenous people;
- Avoid and minimize involuntary resettlement and forced eviction of people and their living space as well as to mitigate adverse social and economic impacts through changes in land use by reinstating the previous living conditions of the affected population;
- Ensure and support health protection at work and the occupational health and safety of people working within the framework of a KfW financed measure;
- Condemn forced labour and child labour, ban discrimination in respect of employment as well as occupation and support the freedom of association and the right to collective bargaining
- Protect and preserve cultural heritage;
- Management and monitoring of possible adverse environmental, social and climate impacts as well as risks within the framework of the implemented measure.

In the context of these commitments, the project will be implemented in compliance with the relevant standards of the KfW Sustainability Guideline (2021), namely:

- World Bank Environmental and Social Standards (ESS) 1-10 as described in the Environmental and Social Framework (2018)
- World Bank Group's Environmental, Health and Safety Guidelines and Industry Specific Guidelines, as applicable (such as, e.g., the IFC Environmental, Health, and Safety Guidelines for Forest Harvesting Operations, Annual and/or Perennial Crop Production)
- Guidelines on Incorporating Human Rights Standards and Principles, Including Gender, in Programme Proposals for Bilateral German Technical and Financial Cooperation
- For aspects related to labour in addition to ESS 2, the International Labour Organization (ILO) core standards

For land tenure issues, the Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests.

1.3.3. Gap Analysis

The Project is confronted with some legislative gaps between National and International Standards, especially related to consideration of so called "illegal" land-users in prior consultation of project activities e.g. plantations. Application of national laws and legal enforcement are sometimes leading to gaps or ambiguous implementation, that can be non-compliant with international standards, e.g. in terms of not enforcing agreed access and use restrictions or on the other hand imposing involuntary access restrictions, or not implementing effective environment protection e.g. in case of polluting industrial investments or monoculture plantations.

Table 6: Gap Analysis between GoI regulations and WB ESS safeguards

WB ESS	National Regulations/System	Gaps identified
<p>ESS1: Assessment and Management of Environment and Social Risks and Impacts The standard on Assessment and Management of Environmental and Social Risks and Impacts (ESS1) requires Borrowers to:</p> <ul style="list-style-type: none"> • Identify, assess, evaluate, and manage environment and social risks and impacts • Adopt a mitigation hierarchy: <ul style="list-style-type: none"> ◦ Anticipate and avoid risks and impacts; ◦ Where avoidance is not possible, minimize or reduce risks and impacts to acceptable levels; ◦ Once risks and impacts have been minimized or reduced, mitigate; and ◦ Where significant residual impacts remain, compensate for or offset them, where technically and financially feasible. • Adopt differentiated measures so that adverse impacts do not fall disproportionately on the disadvantaged or vulnerable • Utilize national environmental and social institutions, systems, laws, regulations and procedures where appropriate • Promote improved environmental and social performance, in ways which recognize and enhance Borrower capacity 	<p>A national overarching regulation for the protection of the environment exists, the EPA 1986. Under its powers several standards to ensure environmental protections, such as standards for water quality and discharge, air quality and noise pollution have been identified. These include the Water and Air (Prevention and Control of Pollution) Acts, and the Noise Rules. For natural environment, there are the Wetland Conservation and Management Rules, and the Eco-sensitive zone guidelines.</p> <p>Specifically for assessing the impact on the environment, Government of India (GoI) had created the EIA Notification in 2006, for which the updated Draft Notification of 2020 has presently also been developed. These specify the type of projects that will need to undertake EIAs, and the process and procedures for doing the EIAs.</p>	<p>In general, the EIA rules do not apply to this project, and therefore no ESMP is required according to the GoI. This will therefore need to be addressed through procedures identified under the project.</p>
<p>ESS2: Labour and Working condition The Environmental and Social Standard on Labour and Working Conditions (ESS2), requires Borrowers to:</p> <ul style="list-style-type: none"> • Promote safety and health at work • Promote the fair treatment, non-discrimination, and equal opportunity of project workers • Protect project workers, with emphasis on vulnerable workers 	<p>GoI has a number of regulations to ensure a safe work environment for all workers. This includes both construction and factory workers. Regulations provide protection for work safety, payment of wages, prevention of forced/bonded labour and child labour. There are also well-defined actions for insurances and compensation in case of accidents.</p>	<p>In general, while these regulations exist, actual implementation tends to be weak. In the case of this project, the community itself performs most activities and it is therefore likely that there will be both limited knowledge and oversight/supervision on labour safety and other needs.</p>

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<ul style="list-style-type: none"> • Prevent the use of all forms of forced labour and child labour • Support the principles of freedom of association and collective bargaining of project workers in a manner consistent with national law • Provide project workers with accessible means to raise workplace concerns 		
<p>ESS3: Resource Efficiency and Pollution Prevention and Management The Environmental and Social Standard on Resource Efficiency and Pollution Prevention and Management (ESS3), requires Borrowers to:</p> <ul style="list-style-type: none"> • Promote the sustainable use of resources, including energy, water, and raw materials • Avoid or minimize adverse impacts on human health and the environment caused by pollution from project activities • Avoid or minimize project-related emissions of short and long-lived climate pollutants • Avoid or minimize generation of hazardous and non-hazardous waste • Minimize and manage the risks and impacts associated with pesticide use 	<p>There are several regulations for pollution prevention and management for waste in India. Each state in India also develops further guidance or standards, as required by the state.</p> <p>Through its waste related regulations, India is also trying to promote increased resource reuse and reduction.</p> <p>India has also developed its National Action Plan for Climate Change, and is a signatory to the Paris Agreement (for Climate Change), and has Nationally Determined Contributions (NDCs) to achieve.</p>	<p>Generally, gaps are rather related to implementation of the prevention measures than to legislation.</p>
<p>ESS4: Community Health and Safety The Environmental and Social Standard on Community Health and Safety (ESS4), requires Borrowers to:</p> <ul style="list-style-type: none"> • Anticipate or avoid adverse impacts on the health and safety of project-affected communities during project life-cycle from routine and non-routine circumstances • Promote quality, safety, and climate change considerations in infrastructure design and construction, including dams • Avoid or minimize community exposure to project-related traffic and road safety risks, diseases and hazardous materials, and have in place effective measures to address 	<p>India does not have any specific regulations to address community health and safety presently. However, through its other standards such as for pollution management, there are actions to provide communities near a source of pollution protection from it.</p>	<p>Provisions of ESS 4 have to be applied as specific legal texts are missing. Community Health and Safety considerations and appropriate mitigation measures to be developed and implemented where risks exist.</p>

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<p>emergency events</p> <ul style="list-style-type: none"> • Ensure that safeguarding of personnel and property is carried out in a manner that avoids or minimizes risks to the project-affected communities 		
<p>ESS5: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement</p> <p>The Environmental and Social Standard on Land Acquisition, Restrictions on Land Use and Involuntary Resettlement (ESS5), requires Borrowers to:</p> <ul style="list-style-type: none"> • Avoid or minimize involuntary resettlement by exploring project design alternatives • Avoid forced eviction • Mitigate unavoidable adverse impacts from land acquisition or restrictions on land use through timely compensation for loss of assets at replacement cost and assisting displaced persons in their efforts to improve, or at least restore, livelihoods and living standards, in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher • Improve living conditions of poor or vulnerable persons who are physically displaced, through provision of adequate housing, access to services and facilities, and security of tenure • Ensure that resettlement activities are planned and implemented with appropriate disclosure of information, meaningful consultation, and informed participation 	<p>India has regulations defining actions required for acquiring land. As land is a state subject, each state has its detailed regulations, which are guided by the overall National level regulation.</p> <p>However, in order to be able to be compensated for a loss of land, there is a need to be able to provide proof of title, and in this case, more specifically the jhum land is in what is identified as forestland belonging to the Forest Department. While land allocations have been identified based upon FRA 2006, not all allottees have been given land. Therefore, a number of persons are still practicing jhum in the forest apart from those who still depend on this practice.</p>	<p>While the allocations in lieu of forest jhum is given, livelihood support and other support for those displaced does not exist. Therefore, those who are potentially displaced by stopping jhum agriculture may suffer from lack of knowledge to ensure any sustainability of output from their allocated lands. Therefore, the project needs to address these issues.</p>
<p>ESS6: Biodiversity Conservation and Sustainable Management of Living Resources</p> <p>The Environmental and Social Standard on Biodiversity Conservation & Sustainable Management of Living Natural Resources (ESS6) requires Borrowers to:</p> <ul style="list-style-type: none"> • Protect and conserve biodiversity and habitats 	<p>Gol has both national parks and a network of protected areas, protected forests and reserved forests. This apart, there are regulations for the management of Forests, protection of biodiversity and wildlife, management of wetlands, eco-sensitive zones and animal corridors.</p> <p>India also has the forests rights act for giving</p>	<p>Not all allocations under Forest Rights Act 2006 have been demarcated. There is a need to support further these communities to create sustainable livelihoods from allocated lands.</p> <p>As these areas do not come under the EIA regulation, and there is a demand for use of the land for plantation activities, the risk of change in</p>

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<ul style="list-style-type: none"> • Apply the mitigation hierarchy and the precautionary approach in the design and implementation of projects that could have an impact on biodiversity • Support livelihoods of local communities, including Indigenous Peoples, and inclusive economic development, through the adoption of practices that integrate conservation needs and development priorities 	<p>indigenous communities rights in forestlands for access to their resources, in a sustainable manner.</p>	<p>microclimate and an adverse impact to biodiversity niches is possible. Therefore, project actions will need to be screened and in order to manage and minimise impacts, discussions with communities and identification of most appropriate actions need to be undertaken within a required LRP and allocated budget to realise the same.</p>
<p>ESS7: Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities The Environmental and Social Standard Indigenous Peoples / Sub-Saharan African Historically Underserved Traditional Local Communities (ESS7) requires Borrowers to:</p> <ul style="list-style-type: none"> • Ensure that the development process fosters full respect for affected parties' human rights, dignity, aspirations, identity, culture, and natural resource-based livelihoods • Promote sustainable development benefits and opportunities in a manner that is accessible, culturally appropriate and inclusive • Establish and maintain an ongoing relationship based on meaningful consultation with project-affected parties • Obtain the Free, Prior, and Informed Consent (FPIC) of affected parties • Recognize, respect and preserve the culture, knowledge, and practices of Indigenous Peoples, and to provide them with an opportunity to adapt to changing conditions in a manner and in a timeframe acceptable to them 	<p>India has the PESA regulation and Schedule 6 to protect the rights of the indigenous populations. These are well-established regulations in these areas.</p>	<p>While project includes Schedule 6 areas, forestlands come under the Forest Department. There does not seem to be any specific FPIC undertaken for management of these lands, although, where JFM committees exist, there are consultations to be undertaken with the community that are governed by the JFM. There are limited capacities and understanding in the use of consultative processes, and FPIC in the project area and agencies involved.</p>
<p>ESS8: Cultural Heritage ESS8 requires Borrowers to:</p> <ul style="list-style-type: none"> • Protect cultural heritage from the adverse impacts of project activities and support its preservation 	<p>Gol has regulations for protection of identified cultural heritage, and change discoveries. The overall guidance is from the national regulations, which are supported by state regulations. All identified protected areas have specific rules for them, which include</p>	<p>While regulations exist for officially recognised cultural heritage, in case of community identified cultural heritage, such as forest or other lands and landscapes, there are no regulations to protect them. Therefore, the project consultative and</p>

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<ul style="list-style-type: none"> • Address cultural heritage as an integral aspect of sustainable development • Promote meaningful consultation with stakeholders regarding cultural heritage • Promote the equitable sharing of benefits from the use of cultural heritage 	protected areas and what is permitted or not permitted in these areas. Any activity, which will be done within the demarcated regulated areas of these identified properties, needs permission from the appropriate authority. Chance findings also have their procedures well defined in the resignations.	screening processes will need to address these processes.
<p>ESS9: Financial Intermediaries (FI) ESS9 requires an FI to:</p> <ul style="list-style-type: none"> • Promote good environmental and social management practices in the subprojects the FI finances • Promote good environmental and sound human resources management within the FI 	All GoI regulations are applicable to FIs. FIs may also have their own screening processes.	This is not applicable for the project.
<p>ESS10: Stakeholder Engagement and Information Disclosure The Environmental and Social Standard on Stakeholder Engagement and Information Disclosure (ESS10) requires Borrowers to:</p> <ul style="list-style-type: none"> • Establish a systematic approach to stakeholder engagement that helps Borrowers identify stakeholders and maintain a constructive relationship with them • Assess stakeholder interest and support for the project and enable stakeholders' views to be taken into account in project design • Promote and provide means for effective and inclusive engagement with project-affected parties throughout the project life-cycle • Ensure that appropriate project information is disclosed to stakeholders in a timely, understandable, accessible and appropriate manner 	<p>Stakeholder engagement and information disclosure is largely in India provided though the existing EIA and Social assessment (for resettlement activities) regulations.</p> <p>There is a right to information and an act has been developed for it.</p>	Given that the EIA does not apply here, and displacement under the resettlement and rehabilitation regulations is not applicable in the forestlands neither, it will be up to the project to ensure appropriate consultative and disclosure processes are followed. As required, processes and systems will need to be developed and training provided to ensure actions are undertaken.

An important challenge will be how to reach particularly vulnerable community members with project activities.

A number of project villages are inhabited by members of Reang tribe, who are classified as PVTG. Where they are in the village where JFM activities are carried out, they may also be a part of the JFMC. In general, the Reang community practices jhum cultivation in forests, and therefore are to be considered as impacted by any activities that induce physical or economic resettlement under FRA 2006. They also collect NTFPs to supplement their diet and for their livelihood. Hence, they must be included in all decision-making processes, and the consultation process during village planning, should include them. Furthermore, they will require support to establish their agricultural fields on 'patta' land (→ forestlands with regulated activities), to ensure proper soil and land management of these lands.

1.4. Institutional Roles and Responsibilities

The project is implemented by the Project Management Authority (State Level located in Tripura Forest Department (TFD). Tripura Forest Department (TFD) implements through Natural Resource Management Society (NRMST) with District Project Management Authority (DPMA) in the two Project Districts. Implementation on the village level is done by Joint Forest Management Committees (JFMC) and Village Development Plan Implementation Committees (VDPIC). The PMA is consulted by the Technical Assistant (GOPA/DFS) and cooperates with other Government Institutions as well as non-state actors.

The following figure (8) shows the project institutional set-up and organization chart:

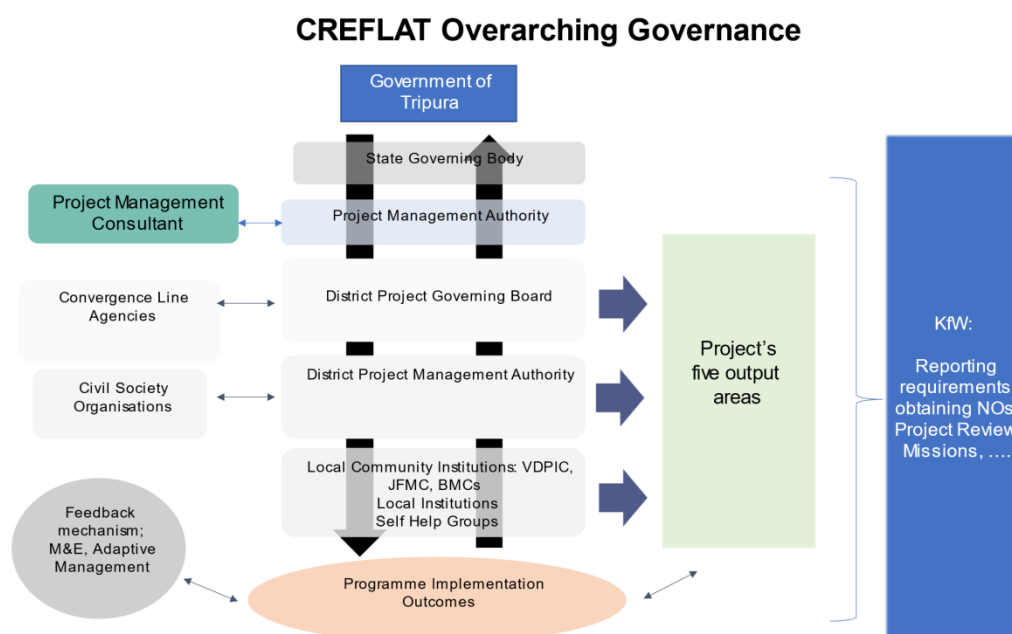


Figure 8. Institutional set-up and organization chart of CREFLAT.

The following table describes the roles and responsibilities of the main institutions involved in project implementation.

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Table 7: Institutional Roles and Responsibilities

Institutions	Roles & Responsibilities	Lead	Frequency
State-level Governing Body (SGB) Tripura Forest Department (TFD) implements through Natural Resource Management Society (NRMST)	Highest decision-making body for the project planning, supervision and management: <ul style="list-style-type: none"> Responsible for approval of operation plans and their execution Annual review of the physical and financial progress of the Project Society Endorsement of the annual Project budget/annual operational plan Endorsement of the Project Operational manual Providing overall guidance for implementation Providing Policy back-up to facilitate functioning of the Project Facilitating inter departmental co-ordination particularly concerning funding and fund convergence between GoI contributions and project funds. Liaising and communicating with project donors on behalf of Government of Tripura 	PMA as Project executing agency	Annually minimally
District Project Governing Body (DPGB)	Body responsible for the decision on which entity will finance which part of the Village Plan: <ul style="list-style-type: none"> Endorse Annual District Work Plan and Budget Assess physical and financial progress of the project and give directions on corrective measures based on the recommendation of the monitoring, evaluation, learning and documentation Make recommendation to state level for approval of project activities Review and recommend policy measure to the state level to ensure suitable project implementation environment Assess and make direction for convergence at the state level Facilitate coordination between different departments involved in the Project, especially regarding budgetary convergence for VDPs Identify issues from the field to be raised with the project Society Governance Board 	Chairman – District Forest Officer (DFO) of the TFD of District Dhalai or North Tripura	Meets every six months
DPMA	Project implementation unit at District level: <ul style="list-style-type: none"> Works closely with the Project Management consultants Acts as a member of the JDSC 	District Forest Officer of Dhalai and North Tripura	Fully staffed and implement project activities

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Institutions	Roles & Responsibilities	Lead	Frequency
	<ul style="list-style-type: none"> • Supports the participatory process of preparing VDPs • Supports the procurement of goods and services • Disburses by co-signing the reimbursement request • Trains stakeholders. • Oversees the implementation of activities and management the Project according to the agreed project document • Funds convergence procedures • Data collection and monitoring • Midterm and final review missions • Close coordination with other donors 		
Project Management Authority (State Level located in TFD)	<p>Overall responsible project planning, implementation and monitoring body at Agartala:</p> <ul style="list-style-type: none"> • Recruit, manage and appraise performance of Projectstaff • Act as a member of Society Governing Body • Act as the competent authority to draw and disburseProject funds • Keep the Society Governing Body fully aware of Projectprogress and raise any issues of concern withthem • Coordinate and Communicate with Project donors • Ensure that the Project is managed according to thePrinciples of good governance • To co-ordinate the TC/FC inputs 	CEO & PD	Full time
BLC or Block Level Committee	<p>Body responsible for discussing several Village plans within one Block and assessing possible synergies or cumulative impacts and risks:</p> <ul style="list-style-type: none"> • Assess Village Plans and make recommendations toJDSC • Assess physical and financial progress of the projectand give directions on corrective measures based onthe recommendation of the Monitoring, Evaluation, Learning and Documentation. • Approve by-laws, Project Operations Manual, Guidancedocuments • Make recommendation to District level for approval ofproject activities • Review and recommend policy measure to the DistrictLevel to ensure suitable project implementationenvironment • Assess and make direction for convergence at theDistrict level 	Respective Range Officer (RO) of each Block in Dhalai and North Tripura District	Will meet as needed or after completion of VDPs of all villages within the Block
JFMC (Joint Forest Management	Tripura/CREFLAT has started working with JFMCs, in fact the work	Chairman / Vice	Meet at least once a

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Institutions	Roles & Responsibilities	Lead	Frequency
Committees)	<p>done in villages so far is by seeking MoU with JFMC as per JFMC guideline-2001</p> <p>Joint Forest Management (JFM) is partnership involving both the forest departments and local communities in natural forest management. The concept was introduced by Government of India through the National Forest Policy of 1988.</p> <p>Support and management of identified reforestation actions of identified forest area under Forest Department jurisdiction. They share from the benefits of the identified land, in the paras where the forestland falls.</p> <ul style="list-style-type: none"> • Work closely with the Forest Department and the community to identify plantation activities • Manage forest plantation and ensure equitable share of profits from plantation activities 	Chairman of Village Council	month
VDPIC (Village Development Plan Implementation Committee)	<p>Body developing the Village Plan, different activities, management plans and for implementation:</p> <ul style="list-style-type: none"> • Analyse appraisals and assessment on different topics regarding village community life, such as forest, climate change, soil, water, stakeholder mapping • Request additional assessment if necessary • Create sub-committees if necessary • Design project activities • Screen project activities for E&S impacts and risks • Develop Village plan and mitigation measures • Disclose Village Plan and hold stakeholder meetings for discussion • Implement activities of the Village plan • Monitor and report on Village plan • Uphold a Grievance Sub-committee 	Chairman / Vice Chairman of Village Council	Meet at least once a month
BMC (Biodiversity Management Committee)	Wherever BMC exist in Project villages, the BMCs will play a vital role in documenting biodiversity, their sustainable use and in dealing with Access and Benefit Sharing (ABS) issues.	Chairman / Vice Chairman of Village Council	Periodically or at least once in 3-6 months
LRPC (sub-committee of VDPIC)	Body responsible for the comprehensive representation of specific topic:	Elected leader of sub-committee	Meet at least once a month

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Institutions	Roles & Responsibilities	Lead	Frequency
	<ul style="list-style-type: none"> Analyse appraisals and assessment on specific topics regarding sub-committee focus such as women, livelihood restoration, grievance, elderly, disabled, etc. Request additional assessments if necessary Revise Village Plan activities and have the right to veto activities Screen project activities for E&S impacts and risks Develop own and screen mitigation actions and compensation measures. Be informed on grievances relevant to sub-committee Focus. Monitor and report on Village plan Uphold a Grievance Sub-committee 	group	
Tribal Council/TTAADC	To provide a platform for all stakeholders, especially the various village communities, within the landscape, to support review and address any possible issues from project implementation activities, such as type of forest species planted, or due to cross village use of forest for NTFPs.	Chairman/ Vice Chairman of VC with Zonal/Sub-Zonal Officer of TTAADC	As often as needed
OTHER Projects	Tribal development Department and cooperation with other key projects in the two pilot districts	Chairman / Vice Chairman with SDFO / DFO	As often as needed
NGOs	The TFD is not planning to have any NGOs involved in the project	-	-

As per Separate Agreement, the forest-based activities of project are to be implemented through JFMCs. Accordingly, since all the activities have been taken up so far on forestland and therefore, done through involvement of concerned JFMCs after taking their due consent in the form of written resolutions. Starting from 2023-24 certain project activities will be taken up outside the forestland for which the mechanism of VDPIIC will be used as per the provision of Separate Agreement.

1.5. Relevant other development projects in the Project area

The following development projects are implemented by government, donor agencies or NGOs in the Project Area. It will be interesting for the project to assess potential synergies and avoid duplication of works. Lessons learned from other projects should be considered in project planning and execution.

1.5.1. Japanese International Cooperation Agency (JICA)

JICA has provided financial assistance to the Government of Tripura to implement the Tripura Forest Environmental Improvement and Poverty Alleviation Project (TFIPAP), also referred to as the JICA Project. The first phase of this project was operational from 2007 until July 2017. It targeted 463 villages across all of Tripura including the part of North Tripura not covered by the IGDC Project Phase I. The objectives of the project were to restore degraded forests and ensure sustainable livelihoods for forest dependent communities through Joint Forest Management Committees (JFMCs). Phase II of the JICA project is under implementation since 2018-2019. Known as Sustainable Catchment Forest Management in Tripura (SCATFORM), the 10 years project will cover 7 districts with 16 Forest Sub-Divisions, 36 Ranges and 148 Forest Beat areas focusing on sustainable forest management, soil and moisture conservation, livelihoods development, and institutional strengthening.

CREFLAT will have close coordination during its project implementation with JICA project, in addition to several other ongoing central sector and donor projects. Knowledge as well as the Farm and Forest Production Centres (FFPC) can be sourced from the JICA project. Block wise or FFPC wise information can be sought from the project.

1.5.2. Other projects & Government Programs

The Tripura Forest Department is also a part of number of government programmes. The following may be of relevance for the project:

- **MGNREGS:** The Mahatma Gandhi National Rural Employment Guarantee Scheme is for the labour component of any activity, and is an income generation scheme – cash for work. If possible, some of the labour-based activities may be considered. In discussions in the project area with a women SHG, it was noted that there was a Moringa plantation funded through MGNREGS. Therefore, similar opportunities may be considered for cost sharing.
- **CCS Medical Plants:** This central funded scheme is to set up Medical Plants Conservation and Development Areas (MPCDA). It aims at mainstreaming medical plant conservation approaches. It is to enrich/augment artificially identified plant species where the species number has come down due to habitat degradation. Activities will be taken up outside forest areas. Its objectives also include community motivation and facilitation of sustainable livelihood systems for stakeholders especially in forest fringe areas. Therefore, if any of the identified MPCDAs overlap with the project, there could be possible convergence considered.
- **National Afforestation Programme:** This is implemented by JFM committees, and is a central ministry (MoEFCC) scheme. The NAP is to be implemented in degraded forestlands, and tries to encourage the plantation of native forest species in the areas.
- **National Bamboo Mission:** Another government scheme, it is to support the plantation of bamboo outside forest areas, and may include homestead cultivation. It aims at enhancing the incomes of the primary producer. It is also to assist research and development of bamboo post-harvest management. Apart from this, the project may also explore convergence with other departments to enhance further outcomes from the project or its activities. As, under FRA 2006, the populations dependent on jhum are given “pattas” (land for use with defined activities), either within forest areas or other government lands, they need to also be provided

with skills to ensure continuing productivity of their lands, as they are shifting from shifting agriculture to continuing cultivation in a single area. As required, support to other agricultural management activities may also need to be identified and provided. This may include improved agriculture or horticultural practices. Stakeholder discussions may also provide further needs in individual paras and villages that may identify further need for convergence.

- Pradhan Mantri Van Dhan Yojna: Started in 2020, the aim of this project is of the Ministry of Tribal Affairs and is with the Tribal Welfare Department of the Government of Tripura. The scheme targets livelihood generation from NTFPs – or Minor Forest Produce (MFP) for tribal populations, using a minimum support price. It works through SHGs. This programme can support with training, toolkits, warehouses, etc., through its identified system.

1.6. Stakeholder Analysis

Project Stakeholders are all persons and institutions that have to do with the project to varying extent, they may be directly involved in project activities or may get positively/negatively affected by the project activities and outcomes, or they may be directly or indirectly affecting the project either facilitating or hindering project success. Stakeholders are interacting among each other, thus creating a more or less complicated social web, in which the project activities are implemented. Stakeholders thus need to be informed, consulted, involved, motivated, coordinated, convinced etc. in order to reach project objectives efficiently and effectively.

The following stakeholders have been identified for CREFLAT for the entire project cycle. However, different stakeholders might be engaged with at different period of project cycle based on the needs and district or block level feasibilities and demands.

Table 8: Stakeholder Matrix

No.	Stakeholder	Role in the Project
1	Communities living in or near forest areas, or within the landscape where project activities may occur.	Main target group of the project; involved in all project activities; affected by regulations, benefits through livelihoods and improved Ecosystem Services. They participate in discussions on plantation activities and provide labour for plantation.
2	BMC	Role still to be explored
3	VDPIC	Development of the village plan, its implementation and M&E.
4	CBCA	Not found during field visit, but existing. More information required.
5	Tripura Department of Forestry (TFD)	Project Implementing Agency
6	Natural Resource Management Society, Tripura (NRMST)	Project oversight. A part of the TFD.
7	Tripura Tribal Areas Autonomous District Council (TTADC)	May be partners in some areas, especially in creation of consensus towards the use of the landscape approach.
8	Tribal Welfare Department (Tripura)	Could be partners in convergence activities, especially for PVTGs. They have a number of schemes for tribal communities that can be explored.
9	Rural Development Department (RD Tripura)	Could be partners in convergence activities.
10	Department of Agriculture and Farmers Welfare (Tripura)	Could be partners in convergence activities.
11	Directorate of Horticulture and Soil Conservation, under the Department of Agriculture (Tripura)	Could be partners in convergence activities.
12	Department of Fishery (Tripura)	Could be partners in convergence activities.
13	Animal Resource Department (Tripura)	Could be partners in convergence activities.
14	Department of Biotechnology	Could be partners in convergence activities.

15	Department of Science and Technology (Tripura)	Could be partners in convergence activities.
16	Department of Industry and Commerce (Tripura)	Could be partners in convergence activities.
17	Finance Department (Tripura)	Approving authority for financial matters, and also audit and oversight.
18	Revenue Department (Tripura)	Will be relevant for revenue land in village areas.
19	Tripura Forest Development & Plantation Corporation Limited (TFDPC)	Could be partners in convergence activities.
20	Medicinal Plant Board	Could be partners in convergence activities, for specific medical plant value addition activities.
21	Block advisory committees (BAC) Dhalai and North Tripura	Key persons to link and approve activity or scheme based upon VDC, through the BDC. BDC also involved with monitoring implementation.
22	University of Tripura – especially Forestry Department	Convergence for research possible.
23	ICAR Research Institute	Convergence for research, case studies etc.
24	ICFRE branch	Technical support of livelihood and capacity building, and evaluation & impact on livelihoods from project.
25	Tripura Bamboo Mission (TBM)	Could be partners in convergence activities.
26	International Cooperation Agency (JICA) Project in South Tripura.	Knowledge partner, particularly for NTFP, soil and water management and knowledge management.
27	RFRI	Evaluation of forestry plantation could be undertaken by them.
28	NEHU University Shillong (Meghalaya)	Convergence for research and knowledge sharing.
29	Tripura University	Convergence for research and knowledge sharing.

The stakeholder diagram below shows the projects' facilitators, the primary and secondary stakeholders and highlights the project relevant interconnections. Stakeholders may thereby affect the project positively (especially stakeholders) or negatively (e.g., potential mining investors). Primary stakeholders may even be affecting the project and be affected negatively e.g., vulnerable Jhum Farmers or NTFP collectors that could be subject to use restrictions and therefore suffer economic losses. These so-called "illegal" users are one of the project's main target groups, especially if they belong to vulnerable groups below poverty line. Other primary stakeholders are of course the village institutions and groups including the village smaller settlement structures as paras and hamlets, notably those in proximity of the project intervention areas. The other government programs that could be important for seeking convergence are among the secondary stakeholders.

A more detailed stakeholder assessment will be added in an update of this CEPF based on baseline study and PRA results. Ideally, it should be done before VDP development.

The figure below that the village leadership in form of Gram Panchayat or Village Committee (village including sub-settlement structures as paras and hamlets) is a central community institution for the project with a connecting and decision-making role. The main project facilitating institutions at village level are the JFMCs for the forest related activities and the Village Community Workers (VCW) and the Village Development Plan Implementation Committee (VDPIC) for the community activities. It appears that in order to be effective, the VCW and VDPIC need to be well coordinated with the JFMC at village level. This is to avoid duplication and that no lack of tasks in community engagement occurs – especially related to the community / PAP engagement process for plantation activities in forestlands.

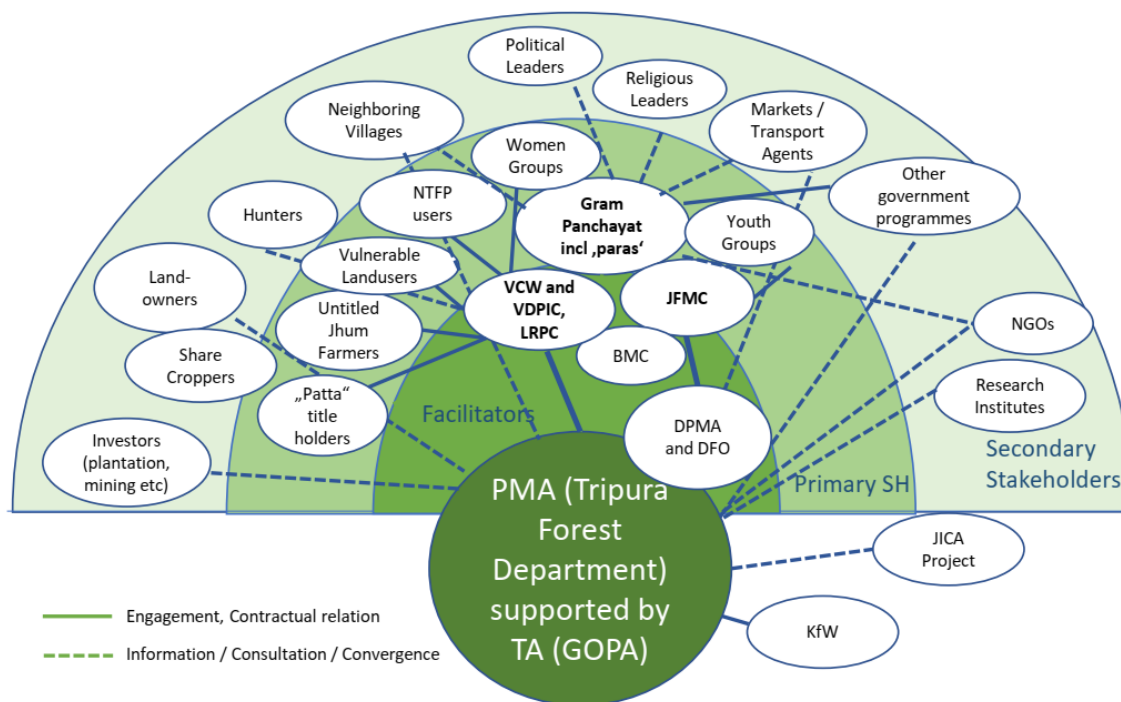


Figure 9. CREFLAT Stakeholder Analysis Diagram.

As a living document, the CEPF can be updated as per requirements, when results from baseline study and PRA assessments are available e.g., during a subsequent implementation training or monitoring mission.

1.7. Assessment of Baseline Conditions

The following assessment of baseline conditions provides an overview of the social and environmental setting in project landscapes. It combines general data at district level and village level data and analysis of villages visited during the field trip in august 2022, the assessment of phase 1 villages will be added add later stage together with baseline survey data as data from phase 1 were not available.

1.8. Target population

The total population of Dhalai and North Tripura Districts of Tripura state is 378,000 and 693,947 respectively – although not all blocks and villages of North Tripura fall within the project area. The total population in the blocks and villages actually covered by the project (in 11 blocks and 191 villages) is 520,213 of which scheduled tribes (ST) comprise 60.2% and Scheduled castes 13.0%.

In both districts, tribal households comprise a significant proportion of the population especially in rural areas, with ST households comprising 60.9% of all households in rural areas of Dhalai and 77.5% in rural areas of North Tripura within the project area. Within both these districts, ST populations are higher than this average in several blocks, which lie within the proposed project area e.g., Jampui Hills (92% ST) and Damcherra (82% ST) in both North Tripura, and Dumburnagar (81% ST) and Chawmanu (86% ST) both in Dhalai.

Table 9: Population and ST/SC population

	Population	SC (%)	ST (%)	ST (% rural areas only)
Dhalai	378,230	16.3	55.7	60.9
North Tripura	693,947 (141,983)	16.6 (4.3)	25.9 (72.4)	29.7 (77.5)
Total (two districts)	972,177 (520,213)	16.5 (13.0)	36.4 (60.2)	41.2 (65.4)
<i>Note: Numbers in brackets represent those blocks/villages in North Tripura falling within the project area only</i>				

Villages visited during the field visit were all tribal villages with a majority being tribal only populations. Only a few villages having SC, OBC or Bengali populations. Usually, within a village, there can be more than one tribal community living, although in a *para*/hamlet, there might only be one tribe, as is seen from the table below for the profile of Paschim Nalicherra VC. Therefore, villages that are only inhabited by ST populations are homogenous to the extent that they all belong to one of the local tribes. In parts of North Tripura district, such as in the Kanchanpur Block, there are also areas where there was only one single tribe inhabiting an area, and mainly consisted of Reang though other tribes are also there.

Name of Para/hamlet	Communities residing in the para		
Ramchandra Para	Tripura	Mog	Debbarma
Karkabakta Para	Molsom		
Anandjulai Para	Koloi		
Bindajoy Para	Reang		
Raidhan Para	Debbarma	Tripura	
Anglajoy para	Mog	Debbarma	
Suknacherra Para	Debbarma	1 Bengali family also residing here	

Table 10: Example Community constitution of hamlets in Paschim Nalicherra ADC village

An estimate by the Department of Tribal Welfare in 2015 put the number of families practicing *jhum* intensively in Tripura at 22,176. However, the number of *jhum* farmers has gradually declined as education levels have improved and more recently as a result of distribution of *patta* holdings to tribal households under the provisions of the Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act (2006). Figures are not available for the numbers of households depending on *jhum* cultivation within the project area but it can be assumed that most tribal households practice *jhum* as part of their livelihoods' strategy. It is expected that the upcoming baseline study will throw further light on this status.

Over 65% of the population is classified as being below the poverty line and the degree of forest dependency in the two project districts is high, but difficult to measure. Estimates on the number of households relying on shifting cultivation vary considerably, depending on their source. However, since *jhuming* invariably takes place within forest areas and is an activity only carried out by tribal people, forest cover and percentage of tribal households are a valid initial means for identifying the Project target group.

As *jhum* agricultural productivity is often low, livelihoods must be supplemented with livestock, harvesting and processing of surrounding forest produce, and the growing of non-food crops such as cotton (for weaving clothes). The economic status of the *jhumias* and their productivity within the system of shifting cultivation does not allow them to accumulate capital for productive investments. It follows that *jhum* households just about make ends meet and are highly susceptible to unforeseen circumstances like diseases and unpredictable rainfall. They have low coping and adaptive capacity, and extension services and various government institutions, including the TFD, are lacking the resources and capacity necessary to provide them support. The focus of CREFLAT is therefore

aligned with the needs of the target group; increasing adaptive and planning capacities of populations and forestry staff will in turn contribute to productive and climate-resilient landscapes that improve incomes and decrease exploitation of - and dependence on – natural resources and forests.

Due to insufficient data on the area, no detailed climate change risk and vulnerability assessment of the identified project districts is possible. However, based upon overall trends for the North East, some possible impacts may be identifiable. Overall, there is expected to be an increased fluctuation and decrease in the total monsoon rain, along with increasing dry spells within the monsoon period as well as increased extreme rainfall in certain spots with resulting flood events. In addition, there is a likely decrease in overall rainfall quantities over a longer period together with an increase in mean maximum temperature. Given this, and the growing pressure and degradation on the forest resources; and the deforestation and degradation of the upper catchment, there is likely to be an increased risk of further degradation of the forests and loss of livelihoods for communities dependent upon these resources. Furthermore, there could also be an increased risk of loss of biodiversity. Equally, with forest degradation, there may be soil degradation and erosion in the upper catchment, affecting the overall catchment and ecosystem services for the area. The project area, especially in the upper catchment suffers from water shortages in the non-monsoon months. This too is likely to increase over time, along with a decrease in the productivity of land resources.

Other specific issues identified from the rapid field assessment undertaken are:

- Majority of settlement are in or adjoining forestlands and the populations in the village are dependent upon these lands for their livelihoods and nutritional supplements.
- Large number of families have yet to get forest '*patta*' land (land for sustainable livelihood use) allocated in practice / in the field. Therefore, they continue with jhum cultivation. The allocation of patta land needs to coincide with the other project activities especially if forestlands used for jhum cultivation are concerned.
- Even if located within a para, forests may be used for NTFPs by persons from other paras. However, consultations on the plantation and management of the lands identified under the JFM may not include paras not covered under the forest area. Overlapping land uses and land claims need to be identified and consultative processes need to be undertaken with neighbouring settlements to minimize/exclude conflicts related to land-use and resource use.
- Lands often have low productivity. There is negligible land for valley cultivation and therefore knowledge of settled agriculture is low. Equally, for *patta* agriculture, and agriculture in TFD allocated lands, knowledge is limited for improved agriculture practices or to support manage soil health, with the Forest Department also not having the knowledge to create capacities on issues related to soil and agriculture management.
- Even if there are NTFPs or other products produced to be sold, there is limited knowledge for value addition, and markets are usually at a distance, with access limited due to poor infrastructure. Appropriate capacity building including value addition, financial literacy and business planning need to be included.
- Within the villages, there is an interest in plantation crops like rubber and areca nut. Therefore, even for plantations on forest *pattas*, where allocations have been made, this can be a preferred crop. However, both these may have an impact on local biodiversity and also a larger impact on the landscape and ecosystem services, which needs to be well understood in every landscape and managed in order to avoid monocultures and over-production of same cash crops with negative price impacts.

A table for the visited phase 2 villages is presented in the Annex. Analysis from Data of existing Phase 1 villages should be added for an updated version of the village profiles. The following format can be used.

Climate Change Adaptation Programme in the Himalaya, Component II: Tripura
Climate Resilience of Forest Ecosystems, Biodiversity & Adaptive Capacities of Forest Dependent Communities
BMZ No.: 2015 67 650 (Grant) & 2015 67 643 (Loan)

Table 11: Format for Village Profiles

Village name (VC/GP)	No of paras	Number of Household	Population (Number)			Population by category (%)		Land Ownership of households (%)			Land use practice (% of HH practicing)				Forest use issues / CCA?	Comment / phase 1 activity
			Male	Female	Total	ST (%)	Others (%)	Joteland (% of HH)	Patta Land under FRA (% of HH)	Others (% of HH)	WRC (% of HH)	Jhum (% of HH)	Orchard / Bagan (% of HH)	Other (% of HH)		
To be filled in																

WRC= Wet Rice Cultivation

Note:

Provide the following information:

- (a) Average size/area of jhum (in acre):
- (b) Average size/area of *Patta* land under FRA:
- (c) Average size/area of orchard/*bagan*:

The village profiles should be updated in the Annex for all project villages as soon as data will be available.

1.8.1. Situation of Indigenous People's

The project includes areas that are listed as Schedule 6 areas by GoI, thereby recognizing the ST ("Scheduled Tribes") majority in the project area. Additionally, there are also other vulnerable groups as SC ("Scheduled Castes" / Dalits) and OBC ("Other backward Castes"), although their numbers are rather small. Among the ST populations, the Reang, one of the STs, are also recognised Particularly Vulnerable Tribal Group (PVTG).

In terms of land and forest resources, there are a number of different challenges. Most of the people in the villages are dependent upon the land and forest resources, although their relationship and degree of dependency may differ depending upon the community to which they belong. Therefore, while the Reang and Tripura tribes are largely dependent on jhum, other tribes may have 'jote' (long-term land titles) or 'patta' lands (allocated lands for defined uses), or are depending on wage labour for their livelihoods. To supplement their nutritional needs or income, most also are dependent on forests for NTFPs.

Jhum is mostly practiced by those who do not have any 'jote' lands, and have not been allocated 'patta' lands either. The jhum cycle is between 4 to 5 years, after which the individual needs to clear another parcel of forestland for agriculture. In general, men clear the jhum land, while women do a majority of the planting and management on the land. Jhum cultivation takes place between April and August, where they grow a variety of different crops that are harvested at different times. This mainly includes vegetables, sesame seeds and paddy. Once the jhum season is over, like others they too are dependent upon the forests for food and nutritional supplements. Main problematic issue with Jhum is the shortened jhum cycle, which reduced the fallow / regeneration periods. In terms of agro- and natural biodiversity jhumlands with long cycles can be superior to other lands.

Of the remaining residents of the project area, those with jote lands or patta in flat lands mainly grow paddy/wet rice cultivation for personal consumption. This consists only of a small percent of the total population. While pattas of 1.5 ha each were allocated to villagers in the ST villages as provided under the FRA 2006 provisions, their demarcation still needs to be completed (this was confirmed by a majority of interview partners). The result is they have no clear title to lands even now.

Knowledge and access to improved agricultural practices, even for those who are practicing agriculture on patta lands or jote lands is limited. Most persons interacted with were interested in learning about ways of improving productivity, and mentioned decreasing soil quality and yield. Some of this is also a challenge due to the change from traditional jhum to settled agriculture, without any support on soil and agriculture management provided alongside. Unsustainable "modern" agriculture practices, e.g. involving monocultures or varieties requiring increased use of chemical pesticides are also a critical issue.

A majority of the population in the visited villages are dependent on the forests for NTFPs. However, these forests are degraded, and with increasing pressure of a rising population, and perhaps due to mismanagement of forests and climate change, the productivity of the forests is going down. This creates additional challenges for those depending upon the forests. Discussions suggest that there is a good market for many of the NTFPs, but there is limited value addition presently undertaken at the village level itself, limiting the incomes that they could receive from them. Equally, as a large number of NTFPs are harvested during the monsoons, there are even greater challenges, such as to reach markets on time.

It is estimated that at least 60% of the persons in the visited Gram Panchayats will be Below Poverty Line (BPL). Therefore, vulnerability is clearly high among all groups in the project area. This is further aggravated due to remoteness of a majority of the settlements ('paras') and their lack of access to basic services.

Overall, the location of many of the project villages is remote, and while the main 'para' is usually connected with a road, there are still many of the 'hamlets' or 'paras' that have no access to roads.

Equally, not all the roads constructed in the project area are all weather roads. Further challenges come from the lack of access to markets, health centres and schools. While in a majority of the project villages, there are primary schools, secondary or higher educations are not always available nearby. Therefore, sending children to school post primary level in many of these areas is a luxury.

The primary health centre is usually available at the Block headquarter. Therefore, depending upon a particular hamlet's access to roads and proximity to the health centre, they may be able to access basic health easily or not. Furthermore, even where the settlement is relatively near the block headquarters, in case of an emergency during night time, it can be a challenge to access even basic health facilities. Access to health is also linked to availability of transport and the finance to pay for it. For example, in a discussion the villagers suggested that a vehicle might take anything from Rs. 1000 to Rs. 1200 for providing transport to the health centre that was about 5 to 6 km away. The result is, in a number of villages where discussions were held, women mentioned that home delivery of children was preferred.

Markets, except for a few 'paras', are at a distance for most persons. Therefore, whether for selling products, or to buy anything, there is a need for transport of produce to the market. While in some of the discussions it was noted that on market day, which is usually Tuesday there was a vehicle that came to the village to pick up and drop the villagers, it provided a one-way service for about Rs. 100. As these market days are used as opportunities also to earn some income from NTFPs, which may earn between Rs. 600 and 1000, the overall return is also small.

'Hill Paras' in the mountainous areas have severe water scarcity between December and March, even though there are hand pumps in the villages. During the scarcity period, it may take up to four hours to get water. This comes on top of other activities such as collection of firewood, NTFPs and other daily chores that may need to be undertaken. 'Valley paras', due to their location, presently do not seem to face any water shortages.

1.8.2. Gender issues

Overall, there was a limited number of women in many of the meetings. While women are generally allowed representation in JFMCs (As per JFM Guideline, if husband is a member then wife is automatically member as well) and other village institutions, it may not always be the case, as was noted in some of the visited villages in North Tripura. The roles of members of JFMC along with benefit sharing are well defined in the JFMC guidelines from 2001. In most cases, where women are represented in the committees, they mention their ability to participate freely in discussions, when present. However, the challenges faced are more in terms of ability to attend meetings, due to their additional roles and responsibilities within their households or communities. Additional challenges, according to the women, may also come where there is a need to contribute hard labour or spend additional time in the institution related activities.

In a number of villages there are SHGs, in which men and women can participate, however mostly women are involved. While some of the SHGs were constituted around livelihood activities such as weaving, others were saving groups. In one village, an SHG also mentioned undertaking Moringa plantations under the MGNREGS government programme.

In general, women participate in agriculture, and are involved with plantation, weeding and harvesting activities. Depending upon the activity, a woman may also be involved with selling produce and going to the market. In case of jhum cultivation, while men clear the forests, women do the cultivation. Overall, women contribute an estimated 75% of the total labour in jhum. In valley paddy cultivation, women are doing the transplantation of rice plants, and management of the field, while men may be involved with land preparation and use of the tractor.

Roles for NTFP collection are generally divided among men and women, although there may be some overlaps, as both men and women are involved with the collection of forest produce. Therefore, while men mainly go to forests in other paras to collect produce, and firewood, women are involved with

collection in the nearby forests. It is usually the women are involved with collection of vegetables, fruits and bamboo shoots from the forest. Women also collect firewood from the nearby forests. Even though, there is cooking gas available in many of the areas, due to the lack of affordability, they prefer firewood. Women are also responsible for the household water collection and management. In the hill villages, this may take between 2 to 4 hours to collect water in the dry season.

In all villages visited, girls go to school, as primary schools are available in most areas, hence they are able to complete education at least until the primary level. Beyond the primary level, education for both boys and girls is based on access to schools, and there was no discrimination noted in educating the girl child. Conversely, in some areas in Dhalai district, there are a few challenges in educating boys. This is mainly due to the poor discipline among the local boys, over the parents' desire to ensure their education.

1.8.3. Settlement Structure

Villages of the project area are composed by several settlements ('paras'), which may have one or several 'hamlets', inhabited by different groups of the community. Most villages (and the 'paras' within them) are ST villages or ST dominated villages. There are a few non-ST populations too, but only in a few paras. The ST tribes include Debbarma, Tripura, Mog, Koloi, Molsom, Garo and the Reang. The SC populations noted were the Gour, and the OBC were the Debnath and the Tatia (weaving community). A few Bengali persons may also live in some of the areas.

The villages / Gram Panchayats visited had between 5 to 11 paras. These paras may be distributed over a large area, and settlements may be a few kilometres apart. Access roads are usually available to the village where the Panchayat office is located, but other paras may not have roads to access them.

While it is difficult to estimate the level of rural to urban migration, there is some rural to urban migration. There are absentee landlords leasing their agriculture land out for sharecropping at a 50% of share of return.

1.8.4. Landholding structure

The areas visited include forestland belonging to the Forest Department. While, the jote lands were largely situated in the valley paras, there were some patta lands in the hills. Patta lands were given, based upon the FRA, 2006 regulation, but the allocations are still to be identified for many of these lands. For example, in Mendi Village Council with 459 households, 265 persons had been given patta land. However, there were another 100 pattas still pending. A total of 200 households has jote lands.

In most villages, there is jhum-taking place in the forest area. Most pattas in the villages follow jhum style agriculture on patta lands. Therefore, they take up mixed cropping as is traditionally done in jhum areas. Another issue with the lack of identification of pattas is that there is a continued practice of jhum, with the lands shifting to new areas every 4-5 years, due to the lack of an identified title.

With these complicated and variable land use practices and unclear ownership titles, the transition from jhum to more long-term use and sustainable agriculture is challenging. As patta lands have already been declared administratively but not yet allocated, traditional land use practices continue, the basis for this transition to alternative livelihoods is not yet in place in some areas. For project activities, which might induce access and use restrictions in forest areas, the prior clarification of land use rights and land titles seems to be crucial to avoid economic displacement and be able to respond with appropriate livelihood restoration measures.

1.8.5. Access, control and change in availability of natural resources

In general, access to forests within a para exists for all paras in the village, irrespective of whether or not, any of that forest area is adjoining or in their para boundary, or if they are a part of the JFM committee that manages the para. Therefore, while a majority of the NTFPs may be taken from the nearest forestlands to a para, as required, other forest areas will also be used for collection of NTFPs.

It was mentioned by the JFM committees, the committees stop nobody if they are accessing the forest for their personal needs. Depending upon the area, various jhum products are planted and harvested. These include vegetables and fruits like bananas, banana flowers, bamboo and bamboo shoots, root vegetables, leafy vegetables, various roots and rhizomes, as well as crabs and snails if a water body is nearby. Some areas also have mushrooms. This apart, the forest is also used for collecting firewood, grasses, and broom grass. The villagers practice open grazing, and therefore their cattle graze in the forests. However, where plantations like rubber and areca nut have been done, access to the land gets limited, as it becomes akin to personal land. Therefore, with an increase in area under areca and rubber trees, access to NTFP also decreases.

In general, the area under jhum (shifting cultivation / slash and burn) is based upon the ability of a family to clear land for it, and therefore there has been little change in the size of land cleared for jhum cultivation. It varies between 1.2 to 1.5 acres of land. However, where “pattas” have been allocated, shifting cultivation does not occur. Here the land size is 1.5 acre. Though RoFR/FRA Act, 2006, has a provision of maximum 4 ha area to be given to each family of patta holder provided he/she has occupied such land. Nonetheless, as there are few economic opportunities, agriculture and NTFP collection is still the mainstay of most persons in the area. This apart, most families also have their own personal land around their homestead and plant some food and other crops, such as areca nut in the area. Nonetheless, a challenge faced by families in the area is the lack of affordability to buy and plant trees and plants of their choice, such as areca nut, at their homestead. Apart from these two cash crops, there is also an interest in jackfruit, mango, pineapple and broom grass.

In areas where there is “jote” land, wet rice/paddy is grown twice annually, depending upon the availability of water. Most of these lands are in the valley, and therefore have better access to water. Apart from this, where there are absentee landlords, sharecropping is also practiced. In such areas, the land is cultivated on a share of 50% of the profit from the land. If water is available for it, sharecroppers prefer growing vegetable crops for eating and selling. In areas, where labour is hired for specific agriculture activities, such as planting, the hired labour is given between Rs. 280 to 300 per day.

1.8.6. Decision making structure in villages and potential exclusion processes from access to resources

All villages have their own Gram Panchayat (GP) body; the Panchayat Samiti, which, apart from the pre-identified government representation, includes elected representatives from the village community itself. All paras are to be represented as members in this panchayat body. While the JFM committee, has representation from the Panchayat Samiti and the Government (Forest Department in this case), other members are from the para/s that the JFM area falls within. There is expected to be a minimum of seven members to the JFMC. Both men and women are to be included as members to the committee.

In the project villages it was noted that, some GPs had more than one JFM committees, as is the case where there is more than one area taken up for forest management and plantation activities by the JFM. Equally, while in some cases the JFM only covers a single para, in many cases there are a number of paras that are covered under a forest plantation managed by the JFM.

In practice, while JFM committees are to consider members from all paras and both men and women, due to inadequate understanding of constituting the committee, this might not all always be the case. Therefore, it was noted that in some committees there were no women, or just a notional one or two members as women of a much larger 12-member committee, as well as not all JFMCs were well represented by the paras that they covered.

In terms of practices, the following issues were identified during the field visit:

- The knowledge of JFMC activities and the forest plantation plan was limited, with decisions taken only by the committee members. Nonetheless, the profit from the harvest was

mentioned as being shared among community members. However, as many of these plantations were new, harvesting and sharing may still be limited only to a few activities, such as broom grass harvests. Therefore, there is a lack of clarity on what may be possible to do or plant in the JFM area by the community.

- In some cases, it was also noted that the JFM committee also had very limited participation or knowledge on the plantation activities, with most of the decisions being made by the Forest Department representative in the committee itself.
- Another point of exclusion in the process is related to women. This may occur at two levels, with the first being women not being adequately represented or not represented at all at these committees. However, even when represented, effective participation may be reduced due to the need to balance other activities, such as household chores at the time of the meetings. Therefore, women not always being able to participate in the meetings, even if they were members of the committee.
- A further concern may be that women are usually in-charge for the collection of the NTFPs and can spend a good part of the day with this activity. Therefore, without an adequate understanding of their needs, even plantations that provide value to both men and women equally risk causing inequality and exclusion within the community.
- It has been noted that, while the paras are members of the committees when the JFM land falls within their para, but they are not the only users of the forest resources. Other communities and paras in the village also access the forestlands for the collection of NTFPs. However, decisions on plantation, harvesting or the management of the land under the JFMC does not include any discussion or representation from these communities, even though they are impacted by the decisions.
- Although not in all areas, but in a large percent of the visited villages, the community was interested in growing rubber or areca nut. On the other hand, in some of the places, discussions suggested that areas with rubber or areca plantations often became managed and harvested by a few individuals who were living closest to these plantations. Such areas did not tend to have any other NTFP of value. Therefore, apart from ecological concerns from the monocrop and changing of biodiversity, issues of benefit sharing and value for the community is also an issue in these areas.
- Another challenge also includes decision-making and its impact on the landscape in the planning process. Therefore, some activities such as areca nut plantations in the upper catchment may result in reduced groundwater availability, and can have an impact on the overall landscape, as well as potential effect in the time taken to collect water in the upper reaches itself. Similarly, there might be other decisions and plantation plans that can have an adverse impact on the landscape and ecosystem services.

Additional and more location specific information is required to assess the specific situation in each village. This information should be gathered during the upcoming baseline survey.

The process of conducting Baseline Survey is underway. It is expected that the first findings and comprehensive compilation of diversified status of all key and relevant sectors will be available by 01/2023.

1.9. Other Sensitive Issues, challenges and opportunities

Challenges observed in the project area during the field visit are discussed below.

- Under the FRA 2006 plan, the people practicing jhum are to be allocated pattas of 1.5 acre for every household (RoFR/FRA Act, 2006, provisions maximum 4 ha area can be given to each family of patta holder provided if he/she has occupied such land.
- However, it is highly unlikely that a patta of this size will result in sustainability and ensure adequate returns to the farmers. In addition, the productivity of such land, without knowledge on soil health and agriculture management for settled agriculture will decrease over time. Therefore, those receiving pattas will continue to be dependent upon the already degraded

forests for NTFPs. Thus, irrespective of allocation of patta lands, the process of NTFP collection will need to be made more sustainable instead of going for a total prohibition. Appropriate agricultural trainings and NTFP collection trainings should be promoted.

- Non-affordability or the lack of availability of plantation materials means that people highly depend upon the forest department for the management of the forestlands, and some plantation activities that the people may consider near their fields or in home gardens, such as areca or fruit trees, are not possible to undertake. Presently, many of the seedlings cost around Rs. 60 to 100 for an individual seedling, and this is very expensive for most people in the villages. The provision of materials and services for plantation to the people should therefore be improved.
- Forest replantation activities in many areas have limited consultations with local land users. In some areas, plantations of rubber and areca are done. This is limiting access to the area and reduces the availability of NTFPs for the villagers.
- Leadership and decision making in the visited GPs seems to be limited. Most of the decisions on plantation and management activities are limited to a few people, with little consultation of the village communities. While women are often members of committees, their participation in meetings is not always possible.
- Another concern identified, is the issuing of land documents and titles for patta lands. Although pattas have been allocated under FRA 2006, and the allottees are aware of them, they do not have any papers that officially recognise them as landowners of the allocated lands. The result is many are still following shifting jhum agriculture where they can.
- Most paras in the area suffer from limited access to basic infrastructure like drinking water, health facilities, schools beyond the primary level, roads, and markets. During discussions in the villages, some of the demands of the villagers also included need for all weather roads, availability of water facilities in the paras, and roadside sheds for resting for those going to the local markets. Another concern identified was lack of adequate livelihood opportunities within the village. This was an issue specifically highlighted by women, who were interested in a variety of activities like weaving, broom making, piggeries and goat rearing, fishing, and areca plantations.

This project also provides a number of opportunities that may support the management of the forests and landscape better, as well as probable create some development and livelihoods in the area. These are briefly discussed here.

- With forestry as its focus under the guidance of the Forest Department and with leadership from the village, existing degraded forests can be improved and villagers can have better harvests of NTFP, for both personal need and income generation. The promotion of a systematic approach to improved and sustainable NTFP collection in the villages would be useful.
- This project provides a number of opportunities to improve food security, including ways to reduce the burden of women to collect NTFPs for food. This can be done through the promotion of home gardens. These can support cultivate plants or trees for personal consumption. Given that most people lack cash, some basic support to develop perennial home garden crops may be considered. This will help to reduce time taken to procure food items, address nutritional needs of a family as well as reduce the pressure on forests.
- The project also provides an opportunity to improve planning by careful design and actions to identify needs for both self-consumption and plan for surplus. This surplus may be used to support livelihood options and consider actions for value addition and marketing.
- By converting jhum to settled cultivation, there is a need to create knowledge on soil and agricultural practices for those receiving pattas. These may include actions for improving soil health, support for rain-fed agriculture, improved agricultural practices, actions for irrigation where practical, and water conservation.

- As has already been discussed previously, there are multiple challenges in the project area that need to be addressed for providing better opportunities for the residents of the project area. Some of these, like improved access to markets, value addition or capacity creation for settled agriculture would either directly address project concerns or support project outcomes. However, many of these are outside the sphere of the Forest Department. Therefore, there are a number of opportunities for convergence with other departments and programmes, and may need to be considered.
- A further important (but to some extent sensitive) issue will be that project impacts will go beyond the boundary of an individual para and also will include a village, and may also impact multiple villages or Gram Sabhas. This may require larger consultations, possible discussions, and trade-offs between up and downstream actors, to ensure both equitable distribution of resource and benefit sharing. An appropriate approach may need to be considered to address this issue.

2. Community Engagement Planning Framework (CEPF)

2.1. Introduction and objectives of CEPF

The objective of the **CEPF** is to ensure that all stakeholders are duly informed and consulted throughout the project and that the project beneficiaries, who partly belong to indigenous people's communities and other vulnerable groups, are involved in the project according to the principles of Free Prior and Informed Consent (FPIC).

The CEPF describes the participatory process of the Project and includes a FPIC Guideline / FPIC steps. A generic Stakeholder Engagement Plan (SEP) for Secondary Stakeholders is also included. The Grievance Redress Mechanism (GRM) set-up and the Implementation Arrangements and - schedule as well as budget provisions are also part of the CEPF, but will also be linked to the ESMF.

The core principles of CEPF are self-determined development, respect for Indigenous and Tribal Peoples' knowledge, cultures and traditional practices that contribute to sustainable and equitable development. The general approach is built on the principles of participatory and co-responsibility of the communities for planning, implementation and monitoring, particularly when the key stakeholders are the tribal people.

2.2. Preliminary Screening of risks and challenges relevant to Community Engagement

This chapter briefly summarizes the risks / challenges for community engagement and counter measures proposed in this CEPF:

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Table 12. Potential risks and counter measure(s)

No.	Potential Risks	Counter Measure(s)
1	Risk that not all villagers are informed about project activities.	Information, consultation, participation and involvement from start to end of project; village event for project start. All should have the chance to be informed and involved. Challenge how to reach vulnerable people in the community.
2	Lack of trust, perception of the project as alien, driven by outsiders and not corresponding to village priorities.	Thorough engagement with village communities incl. vulnerable groups, trust building measures, recognition of villager's priorities.
3	Risk that PRA is made only with village leaders who omit (may not know) existing forest and natural resource uses of other village groups (e.g., ST, SC).	Ensure that representatives of affected hamlets / households near the project target areas / resource users of government lands are involved in PRA.
4	Access and use restrictions (economic displacement) may affect vulnerable people / Jhum cultivators in the first place but may be decided by others (no resource dependent community members, users of private lands in valleys).	Benefits of sustainable resource use measures and soil and water conservation measures and plantations (e.g., agroforestry etc.) should be demonstrated and benefit the vulnerable resource users; Community solidarity schemes, benefit sharing schemes.
5	Risk that government institutions do not recognize the need to undertake FPIC and LRPs also for government owned lands.	FPIC needs to be undertaken also for government lands; vulnerable, traditional customary, resource dependent users need to be involved in community engagement activities and are eligible for Livelihood Restoration.
6	Representation of community through Gram Panchayat representatives e.g., in case of powerful, non-resource dependent people in the village, risk of exclusion of ST, SC hamlets.	Specific inclusion of hamlets / ST and SC populations into decision making at village level and separate consultations with the affected hamlets; narrowing focus of project to directly affected PAPs (groups).
7	Under-representation of women in village meetings / decision-making structures.	Separate FGD for women, focus on women projects, awareness raising among men that women need to be represented in village meetings, asking for women's perceptions.
8	Task distribution between men and women may lead to greater affectedness of women.	Understanding task differentiation between genders is essential to assess degree of affectedness and livelihood priorities; Double/triple burden of women to be assessed and awareness to be raised on this topic.
9	Differences in views and resource use practices within the community, risk of disagreements related to future Nature Conservation / Resource use practices.	Conflictual issues / Grievances to be assessed and discussed in the community (depending on issue). Focus on win-win solutions. Mediation approach involving traditional authorities and local leadership if this is wished. Project Level GRM as one option.
10	Risk of failures of Livelihood Restoration measures high among vulnerable people (due to poverty and lack of education, lack of options, lack of social capital, lack of self-esteem).	Social assistance for vulnerable households and training / capacity building for Livelihood Restoration to be included in LRPs; high level of facilitation and support may be required.
11	Risk of conflicts with neighbouring communities due to unclear boundaries for customary use zones e.g., plantation site is claimed by both villages, one is pro the other contra, risks of destructive behaviour / sabotage.	Seek acceptance of mapping / zonation by both communities in village boundary zones. Focus on joint activities and win-win solutions Exposure visits between neighbouring villages to start discussion processes. Seek

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		solution / mediation by institution that is accepted by both. Withdraw from the villages if solution cannot be found.
12	Risk of elite capture of project benefits e.g., livelihood measures / investments.	Focus on vulnerable households if at all individual support is given (e.g., LRP); Focus on activities that benefit the entire community (access to benefits for all), focus on indirect benefits e.g., eco-system services; make transparent that the project does not support elite capture.
13	Political hijacking of community engagement process; involvement of party politics can lead to/increase divisions within community.	Keep politics out of the project as much as possible. Awareness to be raised among DPMA and VCW and village communities that involvement of party politics will divide the communities and hamper the project and may lead to termination of the project if it becomes apparent.
14	Pending "patta" allocation makes people use forestlands for jhum cultivation and can lead to use conflicts with plantation activities economic displacement.	Prioritization of areas where patta allocation is completed. Coordination with patta registration process and if not possible development of appropriate livelihood restoration actions.
15	Inadequate understanding of non-shifting style agriculture, resulting in low yields and reduced returns. Lack of training for more sustainable agriculture.	Providing patta lands may be insufficient, and support by the project or support of direct linkage to government programs such as on improved agriculture and soil conservation may be required.
16	Limited support, with focus on NTFPs cultivation but not considering value addition, therefore continuing to have low returns from NTFPs, and continued pressure on forests resulting in increasing degradation.	Consider value addition alongside with identification of NTFPs in managed forest areas, to increase incomes and better the lives of the local populations. Improving sustainable use activities in forest areas.

The brief risk assessment shows that community engagement (including involvement of women and disadvantaged / vulnerable people in the communities is important in order to overcome challenges that are linked to land-use and land title issues. This also means that for the preparation of LRP, financial provision should be embedded in the investments under VDP preparation within the given budget.

The power relations and hierarchical structures in the villages (including paras and hamlets of varying degree of affectedness) need to be taken into account. There is a risk that there may be a decision-making body of non-affected people from the main village, while PAPs of an ST hamlet have no public voice and are not included in the decision. Specifically, project affected persons (land users of forestlands assigned for project activities) may need to be involved separately or included in the village decision making structures and processes.

The process of Free Prior and Informed Consent (FPIC) will have to ensure that for every village the different risks are effectively addressed together with stakeholders, and especially with PAPs.

The lack of legal titles is no bar for involvement into the consultation process/FPIC and the declaration of users being illegal on forestlands and thus not including them in FPIC process is not compliant with international standards. The following FPIC guideline outlines a process that should be followed in all project areas and started before any project activities are implemented, otherwise it may not be possible to address effectively the risks.

2.3. Free Prior and Informed Consent (FPIC) Guideline

This FPIC guidance provides an accompanying operational guidance to project officers tasked with working with communities to obtain and maintain FPIC and ensure adequate implementation and documentation of the process.

FPIC is a mechanism and a process wherein the communities or through their representative institution/s, will undertake their own independent collective decision on the matter that affect them following the implementation of a development project. Collective decision-making process would be on proposed development project interventions that relate to their participation and use of their lands and resources; plans that could have implications on their health; activities that may affect their territorial integrity, collective identity, cultural integrity, social customs, livelihoods and well-being.

FPIC in Community Engagement is not a single one-time activity but rather must be re-affirmed at critical intersections of engagement with communities. FPIC is an on-going process beginning with the first encounter with a community and needs to be sustained until the completion and evaluation of activities. Throughout planning, implementation, monitoring and evaluation FPIC consultation activities are used to decide upon activities, including reconsideration and modification of some decisions or corrective actions in response to insights and adaptive learning, prompted by implementation experiences and monitoring and evaluation.

The FPIC guideline describes the proposed process for KfW-funded CREFLAT project in Tripura, implemented by the Forest Department through its registered agency called the Natural Resource Management Society, Tripura (NRMST).

There are two institutional steps to be followed in the FPIC process, which are stated below.

Stage 1: Village Community Workers (VCW) supported by Technical Assistant (TA), who are based at the block or Range to ensure that a consent has been taken for activities to be taken up by the project. For this, PAPs including women and vulnerable groups and so-called illegal land users need to be included and this inclusion needs to be documented.

Stage 2: Village Development Plan Implementation Committee (VDPIC) will be formed and then FPIC for Village Development Planning (VDP) and other planning activities, to be facilitated by the VDPIC. This shall be coordinated by the VCW.

So far, according to reports from PMA, field activities have been taken up on Government Forest lands, as Plantation activities (ANR, Enrichment plantation, Bamboo plantation and seedlings raising in nurseries) which have a positive environmental and social impact and that did not lead to use restrictions. This assertion should be verified, especially in the case of plantations on (former) Jhum areas, if any. Prior consultations with all the stakeholders/ JFMCs were done and their resolutions were taken in writing in respect of every project activity/sub-activity undertaken so far, in order to ensure smooth implementation of project.

For the areas where plantation works have already started, the documentation of affected persons and their grievances and the establishment of Livelihood Restoration Plans / implementation of livelihood restoration measures needs to be established as soon as possible. The documentation of consent needs to be made including the non-coerciveness of the process. The process should ideally reach FPIC equivalence status. A table of all activities was requested and documentation of the above-mentioned agreements by DPMAs should be provided. A database structure should be established and populated with data from all villages.

2.3.1. FPIC Applicability

FPIC is mandatory requirement for all KfW projects that affect the land or access to natural and cultural resources of ethnic minorities ("indigenous peoples"). The FPIC requirement is also in line with World Bank ESS7 Indigenous Peoples. FPIC is also a part of the process under the Indian Scheduled Tribes and Other Traditional Forest Dwellers Act of 2006, though not explicitly mentioned. The 'Gram Sabha' (mentioned in the Act) is essentially an assembly of the adult community of the village (people above 18 years of age and eligible to cast a vote). The Act bestows control over forest resources to the community, which includes the right to reject any project interventions/developmental activities. Therefore, investors or government agencies can only access the land if the Village Council (Gram Panchayat) and General Assembly of the village (Gram Sabha) give their consent. This corresponds to a de-facto veto right by the communities under this law. This does however not say anything about internal village decision-making procedures and existing power relations.

FPIC is applicable in the Project due to the occurrence of Scheduled Tribes (ST) as distinct social and cultural groups with collective attachment to the forest areas in the Project Area. The tribes include the Debburma, Tripura, Mog, Koloi, Molson, Garo and the Reang. Of this, the Reang are identified as Particularly Vulnerable Tribal Group (PVTG), as per results of the rapid assessment made during the field visit and to be substantiated during the baseline study.

FPIC is a reiterative process that shall be undertaken in good faith to ensure mutual respect and meaningful participation of ethnic communities in decision-making. The dependency on the natural resource base is a typical indicator for the STs in the rural project areas, also the existence of traditional laws and regulations e.g., on land inheritance and access to natural resources.

The FPIC is an instrument as well as a specific right of IPs or tribal people in the exercise of their collective rights as enshrined in the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP) to which India too has voted for. Majority of the CREFLAT project communities are intended to benefit the tribal communities. It is the right of the target communities particularly the tribal people on matters that may affect them with respect to their rights on land, resources, livelihoods and cultural integrity. FPIC is an instrument of social justice for tribal people as much as the recognition and respect of their traditional values of collective survival and development. The application of FPIC provides the necessary steps to ensure that their collective informed decisions be respected through their consent on matters that may affect them and the use of their land and resources.

Due to the presence of mixed communities in some areas and homogenous hamlets inhabited by ST / IP groups in other areas and the presence of other non-tribal/non-indigenous people (e.g., SC) a differentiated approach to FPIC is required, that focuses on vulnerability and resource dependence in the first place before considering ethnic origin. FPIC would therefore be applied to IPs and local communities (IPLC) alike disregarding their ethnicity, while priority will be based on vulnerability and affectedness. However, in specific settings the customary use and traditional use rights of indigenous peoples and their wishes to speak own local languages will have to be considered.

The FPIC approach will therefore be based on a solid analysis of the village social settings and dynamics as well as be conscious of the fact that village leadership will not automatically include all vulnerable, affected groups partly living in remote hamlets into the decision-making process. However, this is what the FPIC process needs to achieve. A flexible adaptation and documentation of the FPIC process for the specific situation encountered in project villages is required.

2.3.2. FPIC Principles

The principles of Free Prior and Informed Consent (FPIC) are summarized below:

Free consent is given voluntarily and without coercion, intimidation or manipulation. A process that is self-directed by the community from whom consent is being sought, unencumbered by coercion, expectations or timelines that are externally imposed. More specifically:

- Rights-holders determine the process, timeline and decision-making structure;
- Information is offered transparently and objectively at the request of the rights-holders;
- The process is free from coercion, bias, conditions, bribery or rewards;
- Meetings and decisions take place at locations and times and in languages and formats determined by the rights-holders; and
- All community members are free to participate regardless of gender, age or standing.

Prior consent is sought sufficiently in advance of any authorization or commencement of activities. This means at the early stages of a development or investment plan, and not only when the need arises to obtain approval from the community. It should be noted that:

- Prior implies that time is provided to understand, access, and analyse information on the proposed activity. The amount of time required will depend on the decision-making processes of the rights-holders;
- Information must be provided before activities can be initiated, at the beginning or initiation of an activity, process or phase of implementation, including conceptualization, design, proposal, information, execution, and following evaluation; and
- The decision-making timeline established by the rights-holders must be respected, as it reflects the time needed to understand, analyse, and evaluate the activities under consideration in accordance with their own customs.

Informed refers mainly to the nature of the engagement and type of information that should be provided prior to seeking consent and as part of the on-going consent process. Information should be:

- Accessible, clear, consistent, accurate, and transparent;
- Delivered in the local language and in a culturally appropriate format (including traditional/local media, video, graphics, photos, oral presentations, or new media);
- Objective, covering both the positive and negative potential of the proposed activities and consequences of giving or withholding consent;
- Complete, including a preliminary assessment of the possible economic, social, cultural and environmental impacts, including potential risks and benefits;
- Complete, including the nature, size, pace, duration, reversibility and scope of any proposed project intervention, its purpose and the location of areas that will be affected;

- Delivered by culturally appropriate personnel, in culturally appropriate locations, and include capacity building of indigenous or local trainers;
- Delivered with sufficient time to be understood and verified;
- Accessible to the most remote, rural communities, including youth, women, the elderly and persons with disabilities, who are sometimes neglected; and
- Provided in an on-going and continuous basis throughout the FPIC process, with a view to enhancing local communication and decision-making processes.

Consent is a collective decision made by the rights-holders and reached through the customary decision-making processes of the communities. Consent must be sought and granted or withheld according to the unique formal or informal political-administrative dynamic of each community. Local communities must be able to participate through their own freely chosen representatives, while ensuring the participation of youth, women, the elderly and persons with disabilities as much as possible. The community has the right to withhold consent; however, FPIC does *not* necessarily require unanimity. Dissenting views among community members are fully considered and documented as to their causes, and, especially in case of adverse impacts, such as restriction of access, mitigation measures for adverse impacts are planned and provided through FPIC-based decisions. Consent is hence understood as the *collective support* of local communities for the project activities that affect them, as reached through a culturally appropriate process.

Consent is:

- A freely given decision that may be a “Yes”, a “No”, or a “Yes with conditions”, including the option to reconsider if the proposed activities change or if new information relevant to the proposed activities emerges;
- In this project, FPIC equals a veto right at community level in a sense that communities are given the right to refuse participation in the project or opt out at any given time. This is why all restrictions would be considered voluntary and why a Process Framework is not required.
- A collective decision (e.g., through consensus or majority) determined by the affected peoples in accordance with their own customs and traditions;
- The expression of rights (to self-determination, lands, resources and territories, culture); and
- Given or withheld in phases, over specific periods of time for distinct stages or phases of the project activities. It is not a one-off process.

2.3.3. Community Engagement Process for FPIC

FPIC is often misunderstood as one-time action, during which the community leadership signs a pre-meditated form, declaring the agreement of the community with project activities. This is usually done in form of a MoU based on the intent of the project before the start of project activities. In the case of CREFLAT, which needs to comply with international standards of FPIC, this is not accepted as sufficient. FPIC process in case of CREFLAT is outlined in the following. The word “prior” should not mislead the project to believe that all actions of FPIC have to be implemented before start of the project. Important is, that the process of community consultation is started before the project and that activities are implemented based on consent of the beneficiaries / PAPs.

FPIC is an on-going process, beginning with the first encounter with a community until the completion and evaluation of activities. Throughout planning, implementation, monitoring and evaluation the FPIC process is used to decide upon activities, including reconsideration and modification of some decisions or corrective actions in response to insights and adaptive learning, prompted by implementation experiences and monitoring and evaluation. FPIC must therefore be continuously affirmed at various points in planning, as illustrated in Figure 10 below.

The FPIC steps are explained in more detail below. They refer to the **process of information, consultation and involvement** of the target communities / PAPs, but not to other planning or execution steps of the project.

- **FPIC 1** refers to the establishment of FPIC Team / contracting of Village Community Workers (VCW), GRM focal point, and initial information and consultation with community leaders and village groups
- **FPIC 2** comprises the internal community deliberations and the community decision making process, which leads to the agreement to cooperate with the project;
- **FPIC 3** refers to the Participatory Planning (PRA) with village groups (involving women groups and vulnerable PAPs) and the preliminary identification of community priorities for conservation and livelihood measures and planning & implementation of Entry Point Activities (EPA) (if applicable)
- **FPIC 4** refers to the Development of Village Development Plans based on the identified community priorities and landscape conservation measures, which are further refined/developed together with project facilitators. For prioritization, communities will organize internal meeting ensuring participation of all sections of the communities including women, vulnerable households, youth, etc. At this stage, also the VDPIC needs to be set-up.
- **FPIC 5** refers to the setting up and signing of implementation agreements with communities and specifically with PAPs for implementation of selected conservation landscape activities from VDPs. Specific consultation with different beneficiary groups / PAPs is required. Agreements need to be in local language, understandable for local communities / PAPs and comprise all activities including actions, budget and potential impacts and how they will be mitigated. Voluntary access restrictions need to be documented and agreed. Involuntary access restrictions need to be covered with Livelihood Restoration plans (LRPs). Community Consent to implement prioritized VDP measures and associated activities will be recorded and submitted to the Project.
- **FPIC 6** refers to participation / involvement of community groups and individual PAPs in Implementation of selected project activities. This concerns the practical / physical part of project implementation. Implementation needs to be accompanied with appropriate E&S management tools (ESMPs / ESCOPs); Community information on E&S tools for self-implemented measures.
- **FPIC throughout project/ GRM and SEP** refers to the management of grievances and complaints. The Grievance Redress Mechanism (GRM) ensures the feedback from the communities to the PIAs. The grievance mechanism is applied from start to end of the project as per village customs). Additionally, the activities of the SEP (related to other stakeholder information and consultation) are implemented.

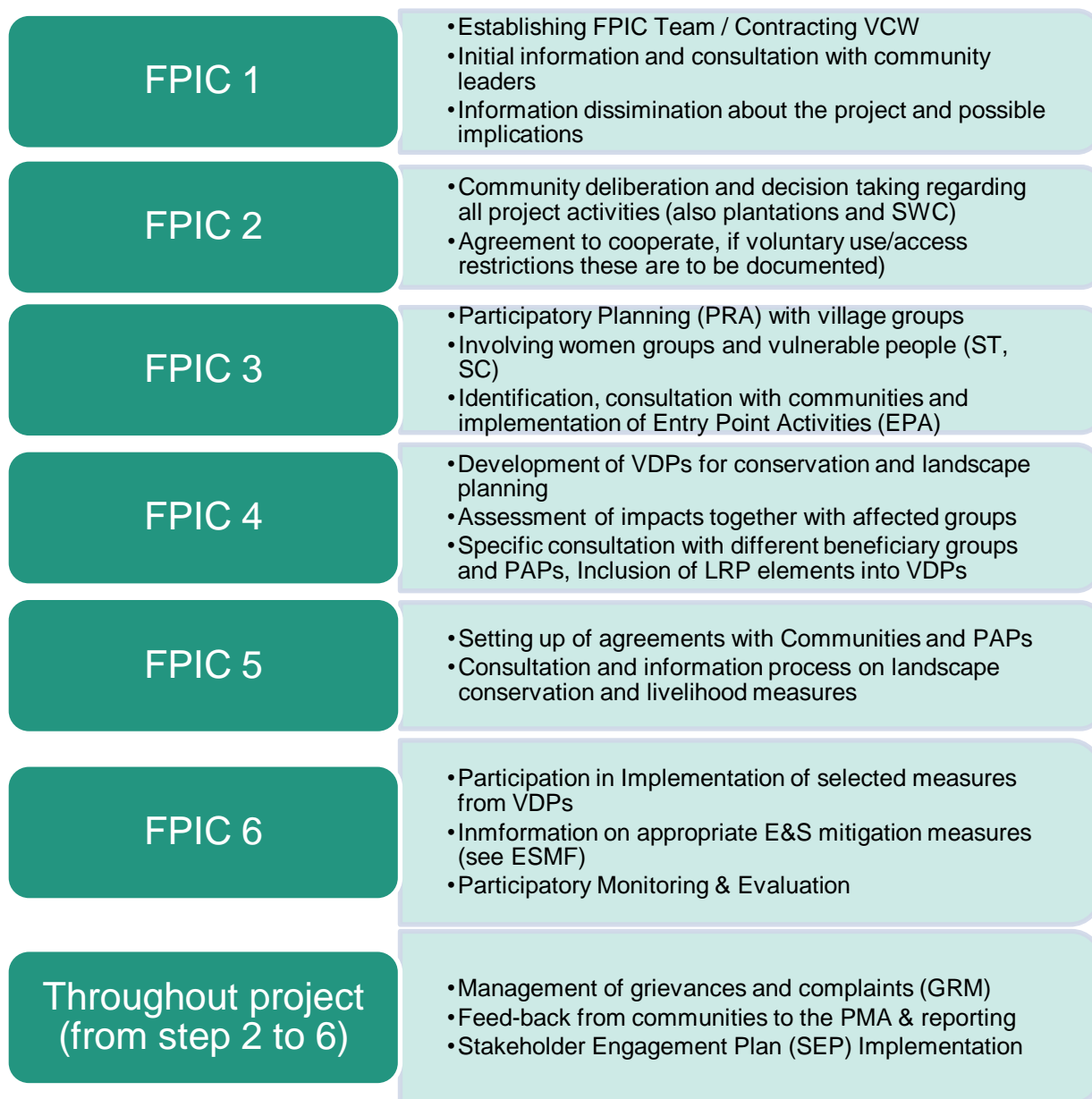


Figure 10: FPIC process flowchart

2.3.4. FPIC Agreement on execution of Project activities

The FPIC process includes several steps where communities, specific community groups and especially affected persons are informed and after internal deliberations can agree to cooperate with the project and to implement the selected project activities. All agreements steps need to be documented, including potential individual dissenting opinions. The main/central FPIC agreement that should be signed by the communities is about the implementation of the VDPs (selected measures of the VDPs). It is thus not done in the beginning of the project, but before physical implementation. This agreement needs to be in local language and comprise all necessary information on the selected activities including the budget, time frame, their potential benefits, and negative impacts as well as how these will be mitigated. It will also include the measures of the Livelihood Restoration Plans (LRP) if applicable. The discussion / decision-making process and its results need to be documented (including pro- and contra views).

FPIC Equivalence of first activities before Consultant On-boarding

Planting and SWC activities were partly carried out on state owned forestlands during 2021-22, before the required safeguards were in place. In the villages visited, during the site visit no complaints /

grievances and no economic displacement was discovered and communities had been informed in prior and activities implemented by JFMCs with contributions of village residents. However, the assessment could not be made for all villages and especially in (former) Jhum areas, plantations may have led to livelihood losses of former users. This should be clarified by the PMA. For the activities that were undertaken in 2021-22 before consultant on-boarding an assessment table was suggested, however not yet completed by the PMC. The suggested table would cover the following topics:

- Name of village / para (incl. differentiating if several JFMCs exist per village)
- Population data (No. of persons and HH), Ethnic Groups (which?), mixed/homogenous village
- Statement if continued Phase 1 or new Phase 2 village
- Activities undertaken (2021/2022), differentiated in plantation works, SWC works (check-dams) other?
- Differentiation if activities were done at new sites or at existing sites of phase 1 (rehabilitation works)
- Assessment if land-use by people was present in the areas of works (e.g., plantation sites) and specification which activities and by whom?
- Livelihood priorities identified by communities (men/women)
- Village institutions that were already formed VDPIC
- FPIC process => which consultations, information sessions, agreements were done
- Names of responsible Forest officers, Village Level Workers and VDPIC members

This table will help to assess the status quo and if additional, specific livelihood restoration activities will be required in these villages to be included in VDPs.

2.3.5. Potential withdrawal from Project activities

Indigenous and tribal peoples are entitled to give or withhold consent prior to the initiation of any project that may affect them. Once given such consent can be withdrawn at any stage, allowing Indigenous Peoples to negotiate the conditions under which the project will be implemented, monitored and evaluated. Indigenous People can also choose not to enter into consultations; this decision should be respected and all contact avoided, unless the VC approaches the project to re-enter the project.

The procedure for withdrawal from project activities could follow similar procedures as that of giving consent.

- The Chairman of the VC / VDPIC or authorized person can convene the community meeting.
- The public meeting could deliberate the reason for withdrawal of the consent.
- In order to ensure commitment to agreements made, activities can be implemented by instalments to keep up the motivation for continued implementation.
- The discussion process and its results need to be documented (including pro- and contra views)

2.3.6. FPIC Monitoring and reporting

FPIC requires the full documentation of all procedures, information disclosure, discussions, negotiations and decisions throughout the process of community planning, including dissent and failure to reach consent. The project ES Team will periodically monitor the CEPF and ESMF implementation.

The considerations, negotiations and decisions taken during implementation of measures also need to be recorded and fully documented, including:

- Invitations and agendas for meetings and events: the participants are pre-informed about the agenda for the consultations, community meetings, deliberations, events etc.;

- Village Consent to cooperate with project, Attendance records: list of participants of meetings, Minutes of Meetings with VC and FGD etc.;
- Community Agreements for implementation of prioritized activities from VDP;
- Grievance Form: documentation of any grievances raised by village participants, either to VC, DFO, DPMA or directly to the Consultant's GRM responsible
- Photos and videos of activities;
- Monitoring reports: monthly, quarterly, half yearly monitoring reports by DPMA / PMA / Consultant;
- All records shall be collected and stored by the PMA; a copy shall be provided to the relevant VDPIC and the Consultant. A database structure, with a folder for every village, where all documents are to be stored in digitalized form (photos of all meetings and site visits, photos of all documents, complaints and GRM register, etc. that can be sent via e-mail or drop-box) should be established.

2.4. Inclusion of Compensation and Livelihood Restoration Plans into VDPs

The objective of the LRP is to support PAPs, who lose their traditional means of subsistence as well as income generation opportunities due to project activities (such as the forest land traditionally jhumed is now under plantations, or forest areas where traditionally NTFPs collected are now under plantation/SWC activities) through the project with appropriate measures to enable them to recover these losses in an alternative, more sustainable way. This is particularly relevant for all vulnerable affected households. Livelihood Restoration Plans (LRP) are viewed as the appropriate project tool to compensate affected persons' losses through alternative livelihood means. The tool of LRP is proposed to identify these persons and understand if they are eligible and what they are entitled to receive in compensation of lost assets and how they can be involved in re-developing their livelihoods in a sustainable way. The LRP provisions shall then be included in the VDPs.

A general Process Framework (PF) for the project was developed during the Feasibility Study. Rationale for the PF is that the project may require some land acquisition to implement community livelihood activities or infrastructure development and/or induce use- or access restrictions of current users of forest plantation areas or other project work sites e.g., for Soil and Water Conservation Measures. Susceptible activities could be the demarcation of new biodiversity corridors, forest rehabilitation areas and insect fields (or the expansion and enforcement of existing ones), natural resources, and services (e.g., medicinal plants, fodder, firewood or other forest and non-timber forest products). The rationale for the PF was that at the time of the FS it was assumed that access and use restrictions would fall on PAPs involuntarily. However, the new understanding is that PAP would have to agree on these restrictions voluntarily and if they do not agree project activities would have to be changed. This triggers a CEPF including LRP provisions and not a PF any more.

Some of the envisioned activities may restrict current access to land. Susceptible activities could be the demarcation of new biodiversity corridors, forest rehabilitation areas and insect fields (or the expansion and enforcement of existing ones), natural resources, and services (e.g., medicinal plants, fodder, firewood or other forest and non-timber forest products). This chapter takes up the main elements and provides the relevant Eligibility and Entitlement criteria and provisions for the development and implementation of household specific Livelihood Restoration Plans (LRP).

2.4.1. Affectedness

According to the FS, the actual number of farmers or traditional healers who may be displaced due to biodiversity corridors, pollinator fields, or other similar temporary or long-term restrictions are expected to be minimal because the area has a low population density. Forest and pollinator fields are small (1-10 ha), and biodiversity corridors will only be established in one or two specific areas not exceeding 50 ha.

Table 13: Activities with potential impact to restrict livelihood activities of PAPs and number of affected HH.
Source: FS (2018)

Activity Restrictions and Affected Persons		
Activity with Potential Access Restriction	Estimated Number of Impacted Villages	Potentially Affected Households
Biodiversity Corridor	2	(2 x 50) 100
Pollinator Fields	8	(8 x 5) 40
Restricted Pond Use	80	(80 x 4) 320
Forest Rehabilitation	30	(30 x 5) 150

This assessment comes from the FS. As it is rather general and vague, it needs to be updated following the baseline study and/or preparation of VDP.

The areas and affected persons need to be further determined during each Village Plan development (project development by community members) and during the detailed baseline survey. The socio-economic data collected must ensure that all livelihood losses are assessed.

It has been confirmed that there will be no physical displacement and only some economic displacement, caused by restriction of access to key livelihood resources. Thus, an approach based on LRP seems appropriate. Activities causing physical resettlement / eviction of households are considered non-eligible.

Should any activities causing physical displacement (even from government owned lands) be planned nevertheless, the assessment of social impacts needs to be reviewed and adapted and appropriate Resettlement Action Plan (RAP) provisions made. The physical displacement of households needs to be signalled to the Implementation Consultants, the ESS specialists and to KfW.

2.4.2. Eligibility

“Eligibility” refers to those PAPs who are eligible for compensation, and assistance as a result of both positive and negative project impacts. “Entitlements” refers to the compensation and assistance developed to address various impacts and to which eligible persons may be entitled (see Process Framework of CREFLAT (FS) and LRP provisions under the ESMF section below).

All PAPs are eligible for some kind of assistance if they occupied the land before the entitlement cut-off date, regardless of their legal status or whether they have formal title or legal rights. However, persons who encroach on the area after the socio-economic study (census and valuation) are not eligible for compensation or any form of resettlement assistance. In addition, illicit users of natural resources for commercial purposes are ineligible for assistance.

The District Project Management Authority (DPMA) will work with the respective village development planning committee (VDPIC), project planning staff and the Forest Department to facilitate established stakeholder community participation on how the respective Livelihood Restoration Plans (LRP) will take up the eligibility and corresponding entitlements.

The Project management stated that *“all the project-related plantation activities including Soil and Water Conservation (SWC) activities will be carried out in forestland, that is, government land under the management of the Forest Department, and therefore, there will be no direct Project Affected People/Persons (PAP)”*. This is however not the correct definition of directly affected PAPs. According to international safeguard standards, especially ESS 5 all users and especially traditional users, but also informal or illegal users and squatters are eligible to compensation or alternative livelihood assistance if they depend on the use of the resources.

It is understood that a substantial number of households of the project communities, particularly in some Blocks (such as Gandacherra) in Dhalai district have been practicing jhum in the forestland that are adjacent to their settlement sites or villages. Where the tribal people in such villages consider the practice of jhum as their traditional ways of livelihoods, the selection of such jhum sites for plantations

under the CREFLAT would affect their traditional land use and livelihood systems irrespective of the ownership of the land. No illegal activities are suggested or shall be promoted through CREFLAT project. In the event of taking up areas that are used for Jhum farming, which is stopped through project activities, the persons involved in these activities are called project affected persons.

The following categories of PAPs would be eligible for project assistance in the form of Livelihood Restoration Plans.

- Communities / Affected Households who had been practicing jhum for their traditional livelihoods but whose rights have now been extinguished by way of selection such jhum sites for forestry plantations, such areas being government land.
- Communities / Affected Households who have been collecting NTFPs for supplementary livelihoods and socio-cultural purposes (such as bamboo shoots, broom grass, thatch grass, mushrooms, wild edible plants including roots and tubers, or traditional herbal medicinal purpose or socio-cultural religious purpose) from adjoining jhum fallow forests but who can now no longer do so due to conversion of such fallow forests into plantation areas (as the fallow forests were highly degraded).
- Communities / Affected Households who had been using the fallow forests for sourcing of their household construction materials such as bamboos, small timbers, thatch grass for roofing, small dead wood for firewood, etc. but can no longer source now due to conversion of such fallow forests into plantation of forest species.
- Artisan households from the communities who had been depending on the fallow forests for sourcing of bamboos for making bamboo mats, bamboo baskets, and other bamboo products for their household uses and/or supplementary livelihoods, but can no longer source such raw materials due to conversion of fallow forests into other land uses including plantation of forest species.

However, the following categories of people would be ineligible for any assistance or participation in the project:

- Encroachers, who do not depend on the use for their livelihoods (non-vulnerable people)
- Persons who move into the area after the cut-off date / declaration that it will be used by the project
- Illicit users of natural resources for commercial purposes (non-vulnerable users);
- Persons involved in illegal or destructive activities (e.g., mining, plantation of illegal substances, other criminal activities etc.)

2.4.3. Entitlements

Entitlements are the inputs in form of cash, in-kind contribution for alternative livelihoods and/ or trainings that the eligible households are entitled to receive. These can vary with the degree of affectedness. In case of the project, cash compensations are not preferred. Entitlements would rather be supported for alternative livelihood creation in form of in-kind contribution plus training / capacity building.

Suggested entitlements for livelihood restoration include

- Replacement land for agricultural use (if access to cultivable land is restricted);
- In-kind contributions for farm-based livelihoods as livestock breeding, poultry, fishery, piggery etc. which are possible on remaining available land and which are not destructive to natural resources;
- In-kind contributions for intensification of sustainable vegetable or fruit production on available lands;
- In kind support for non-land-based livelihoods (e.g., handicrafts, processing of agricultural produce, services etc.);

- Provision of other sustainable livelihood improvements e.g., water supply for irrigation, which supports higher production on available lands in compensation for access restrictions;
- Continued sustainable use on the restricted project areas e.g., sustainable agroforestry, benefits from plantations, establishment / employment in nurseries
- Employment opportunities (long term employment or business, not only short-term labour in project SWC activities as bunding/gully restoration etc.),
- Capacity building e.g., financial literacy, business plan development, practical / vocational trainings;

The different entitlements / livelihood actions shall be described in more detail when elaborated for each community and the affected households.

2.4.4. Livelihood Restoration Plans (LRP)

The objective of the LRP is to support PAPs, who lose means of their subsistence as well as income generation opportunities through the project with appropriate measures to enable them to recover these losses in an alternative, more sustainable way. This is particularly relevant for all vulnerable affected households.

As per definition, Livelihood Restoration Activities are specific activities intended at supporting displaced peoples' efforts to restore their livelihoods to pre-project levels. Livelihood restoration is distinguished from compensation. LRP is a time bound action plan to restore livelihood for eligible project affected people with a budget setting out restoration strategy, objectives, entitlement, actions, responsibilities, monitoring, evaluation and reporting.

For this project, it is advisable to include LRP provisions into the VDPs, and take into account the priorities of the affected households. This means that the project will have to include additional livelihood measures (land-based or non-land based) for households who are affected by project activities and eligible to receive the benefits of LRPs. There could be a range of livelihood activities, from which households can choose and sufficient budget will need to be allocated for the same. The livelihood activities shall then be monitored if successful. Indicators will be lost income through access restrictions, investment in LH actions by project, expected income generated (mid-term) through alternative livelihood activity and satisfaction of PAPs.

For this purpose, PAPs need to be identified and their losses need to be identified and confirmed by the responsible community committee (LRPC, VC or VDPIC). In case of grievances, the GRM is there to raise complaints to the DPMA or the project or the IC. Further, alternative livelihood activities need to be identified and included in VDPs (which may not be funded by the Project except plantations/agroforestry but attempt to secure through convergence with normal Panchayat development plan). There could be a range of livelihood activities, from which households can choose / preferably activities from which the entire community / all households of the community can benefit. The livelihood activities shall then be monitored if successful. It would be interesting to enquire among affected communities, which livelihood priorities are considered viable and are preferred.

The following table shows an exemplary LRP format at community level.

Table 14: Livelihood Restoration Plan² (LRP) Format (per community)

No.	Name of	No of HH	Social group	Description	Estimated	Chosen	Provision
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² To be prepared after the formation of VDPIC along with the preparation of VDP:

- Needs to be updated when baseline data and planned activities for each village are available;
- The LRP needs to be prepared in all cases where economic displacement / resettlement is caused by project activities irrespectively of PAPs having official land titles or not;
- For all villages where activities have started before consultant onboarding LRPs need to be prepared in priority, as FPIC process has not been followed;
- LRP will be prepared at the time of preparation of VDP, after the formation of the VDPIC.

	Affected Household (Both male and female heads)	members	(cat.) / Vulnerability status	of assets lost due to project	value of lost income	Livelihood Restoration Activity	by project / action and value of support with appropriate budget

The LRP table will give an overview of the affected families for each community and the measures implemented. Further columns may need to be added by implementers to check progress (planned, implemented, check if successful).

The LRPs will be subject of monitoring and reporting

2.5. Grievance Redress Mechanism (GRM)

The Grievance Redress Mechanism (GRM) is the project specific tool to get to know about problems in the project and potential complaints of community members or other stakeholders; and to register, respond, and solve the underlying problems, conflicts etc. The complaints resolution also includes documentation of the process.

Conflicts may appear first at community level and be solved by the traditional arbitration and mediation process in each village, which involves the village council. However, if a problem persists and/or cannot be solved by the village leadership, the project needs to know about it and be able to respond and solve the problem in a coordinated way.

The basis of the GRM is a responsible person in the PMA/DPMA, who is designated and accessible (can be joined by phone) to collect the grievances that may appear. The person is responsible for assuring that the issues are properly addressed, including an initial response within a week, and for pushing forward the resolution process to reach a solution with the aggrieved person.

At the village and paras, the complaints will be collected by the Livelihood Restoration Planning Committee (LRPC), which is a sub-committee of the VDPIIC. The complaint will be reviewed at the village level itself, and if possible, resolved within the village itself. This process will be supported by the VCW and TA, who will also support with the documentation process required for the grievance management.

In case, the complainant is not satisfied with the resolution, then the complaint will be sent to the Block level, which is the identified Block Level Grievance Level Committee, headed by the Ranger. Any complaint not resolved at this level is then to be sent to the DFO for a resolution. Above this, at the District Level is the DPMA, who has a GRM officer to handle complaints that are still not resolved.

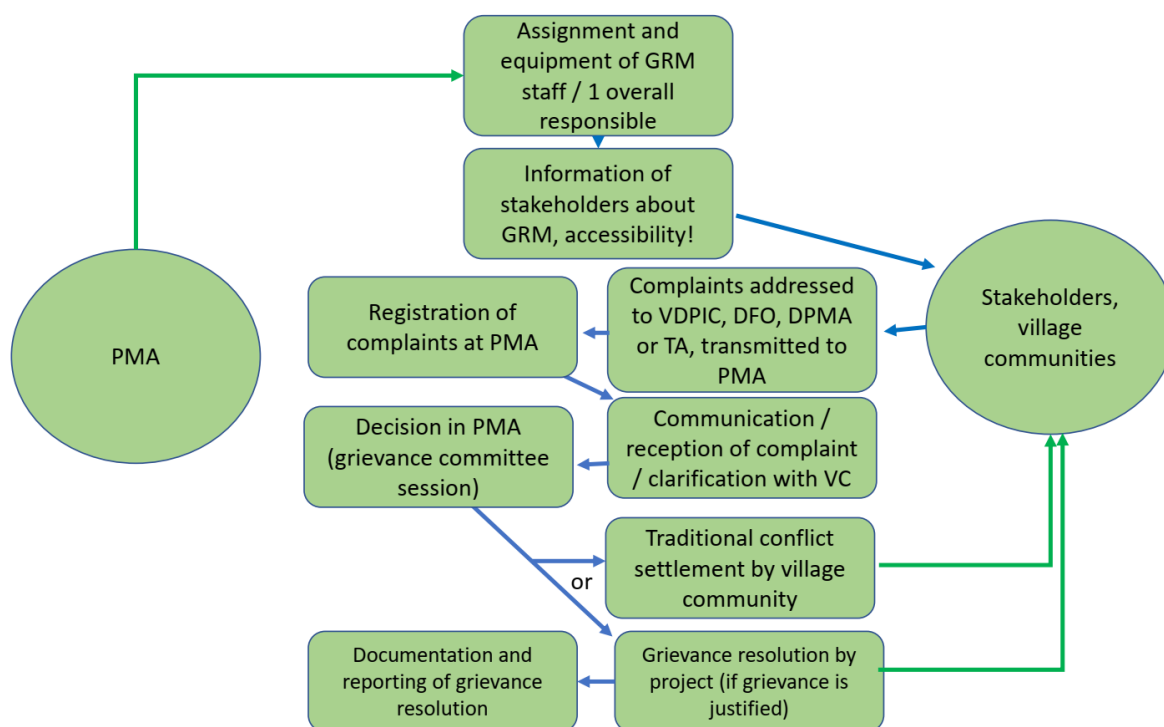
Steps of Grievance Mechanism and responsibilities:

- Assign a responsible (GRM focal point) within DPMA for grievance submission who is reachable by WhatsApp, phone etc. during normal office hours); The community GRM focal point shall weekly inform the project about received grievances for documentation and response by project staff / consultant GRM responsible;
- Inform project beneficiaries (population of Project Villages) about possibilities and ways of lodging complaints / grievances (and also general project feedback as e.g., suggestions for improvement); handing out GRM forms in local language and give explanations that

complaints are very welcome, can be submitted without fear of repercussions for the complainant, but must be project related; The project GRM should be announced with the start of PRA and continue to the end of the project;

- Grievances can also be submitted at LRPC, VDPIC, BLC and other institutions, but it needs to be ensured that they reach the focal point at DPMA and if they cannot be solved at this level then they are forwarded to the PMA and consultant level, where a Grievance Committee session can decide what to do;
- Training / Information of project staff incl. DFO, facilitators and leadership of project villages to pass on all grievances to the GR focal point within DPMAs;
- Documentation of Grievances by focal point of DPMAs and passing on information to PMA and TA Consultant (grievance logbook → response and resolution process → monitoring by PMA);
- Setting up a Grievance Committee at PMA and Follow up of grievances and corrective actions by PMA upon decision Grievance Committee (response within max. 2 weeks); Participation of the consultant's GRM responsible in GRM sessions;
- Reporting of grievance records and follow up corrective actions and resolution in half-yearly reports (together with ESHS reporting) by the consultant;
- Relevant Grievance Forms (only in English) are presented in the Annexes, however need to be translated into local language and shall include the easy worded explanation of what people need to do in case they have project related grievances and how they will be responded to.

Table 15. GRM Flowchart.



The implementation of GRM is not limited to the community engagement and stakeholder involvement approach but also relevant for ESMF / ESMP implementation. The grievance documentation / logbook will be subject of independent monitoring. Periodic field visits will be made for enquiry if there are grievances that were not recorded and followed-up. The grievance forms, GRM organization and logbook templates are presented in the Annex.

2.6. Stakeholder Engagement Plan (SEP)

The stakeholder engagement plan is a management guidance tool for information and consultations of project stakeholders beyond the primary affected / beneficiary communities. It also includes secondary stakeholders as government agencies, NGOs, religious organisations etc. that need to be informed and consulted about the project and with whom synergies can be developed to ensure project success.

2.6.1. Objectives of stakeholder engagement

The **objectives** of the stakeholder engagement plan are:

- To identify all project stakeholders including their priorities and concerns for effective support and participation in the project implementation and management.
- Identify strategies for information sharing and communication to stakeholders as well as consultations of stakeholders for meaningful and effective project implementation throughout the project cycle and sustainability in the post-project scenario.
- To specify procedures and methodologies for stakeholder consultations, documentation of the proceedings and strategies for feedback.
- To establish an accessible, culturally appropriate, transparent and responsive communication and grievance redressal mechanism for the project.
- Develop a strategy for stakeholder participation in the monitoring of project impacts and reporting or sharing of results among the different stakeholder groups.
- To enlist the participation of selected stakeholders for post-project investment to ensure sustainability.

2.6.2. Guidance for effective engagement tasks

- Capacity building of community facilitators who will be in charge of engagement tasks
- Lack of time is given as one of the most common constraints of many engagement processes. This concerns time of facilitators as well as time of participants. Availability of participants and organizing engagement when participants are available is key.
- Stakeholder groups should be identified in an open and transparent manner. From these groups, participants should also be invited in an open manner.
- Stakeholder engagement should not be limited to community leaders, women and vulnerable groups, especially PAPs need to be reached and participate in engagement activities. Organize separate meetings, if necessary;
- Once in contact with people: Clarify the objectives and goals of CREFLAT Project to participants
- Communicate clearly in all phases of the engagement; this strategy should include access to and presentation of all relevant information.
- Information should be provided in an accessible way, without using complex concepts and jargon.
- Participatory processes can be very flexible. If one technique is not working, another can be used or the questions changed to obtain the required information. To ensure such flexibility, sufficient time needs to be allowed to get feedback on the effectiveness of the process.

2.6.3. Generic Stakeholder Engagement Plan (SEP) table

The stakeholder engagement plan is a management tool that enables the project to plan and monitor the stakeholder engagement activities and make sure that no stakeholders are left out and all affected groups are reached. Additionally, the plan enables an appropriate time-management of consultations and can be included in the project work plans at each level.

- Update the Stakeholder Engagement Schedule to include specific dates and/or frequency of meetings and consultations.
- Identify the key stakeholders who will be included in each meeting and consultation.
- Create a more detailed description of consultations and discussions that will occur.

- Provide details of Stakeholder Engagements to date including detailed appendices and annexes if appropriate.
- Develop a detailed sub-section describing how Stakeholder Engagements will be monitored and recorded in a way that ensures quality control and assurance.

If there is a need, trainings for stakeholder engagement, how to plan stakeholder engagement at village level, how to conduct stakeholder meetings and ensure documentation of process and results should be organized.

A generic stakeholder engagement plan is provided below. It should be updated with the appropriate time frame and actions.

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Table 16. Generic Stakeholder Engagement Plan (SEP)

No.	WHAT Information Disclosure	WHOM Receivers of communication	WHY Reason for needed action	HOW Means of communication	WHO Overall responsible person	WHEN Timeframe / Frequency	Indicators or means of verification
1. Planning of activities							
1.1	Project Introduction	Village Communities, District authorities, Tribal Authority where they are relevant / all affected paras/hamlets in catchment / landscape approach	Inform about the Project, consult for village issues and planned infrastructure activities at state and district level, including indirectly affected PAPs in downstream & neighbouring villages (using the same resources)	Meeting Presentations Handouts	FD, TA	At project start	PhotoDocumentation; Handouts;
1.2.	Village Selection / FPIC 1	Selected Village Communities of landscapes incl. neighbouring villages of forest plantation areas	Inform about the Project, collect challenges and opportunities, discuss village selection and activities Information about what is possible to do e.g., to plant / to collect in JFMC areas and other project areas e.g., "patta" lands within project activities	Workshop Meetings	/ TFD / TA	At start of project	Mutual agreement to cooperate;
1.3	Gender Equality / Specific involvement of women	Women at village / "para" level Other state level Women organizations,	Women to be informed and involved from the start State level women organisations to be informed about the Project; Can be multipliers for distribution of information to	Meetings / FGD	TFD / TA; facilitation by VDPIC/ JFMC	Before PRA to involve women more	Minutes of meeting, Photos if applicable;

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No.	WHAT Information Disclosure	WHOM Receivers of communication	WHY Reason for needed action	HOW Means of communication	WHO Overall responsible person	WHEN Timeframe / Frequency	Indicators or means of verification
			primary stakeholders and affected population				
1.4.	Involvement of vulnerable PAPs; Information about project activities and impacts / degree of affectedness	Vulnerable groups (ST / SC / OBC), incl. non-titled land- and resource users State level support organizations for ST / SC	All PAPs to be informed, consulted and involved in decision-making.	Meetings / FGD	TFD / TA- implemente d by JFMC / VDPIC (additional facilitators if needed)	Before PRA to involve vulnerable PAPs more	Minutes of meeting, Photos if applicable;
1.5.	Other projects (e.g., JICA, Gol)	Project Management staff /	Coordination / use of synergies, capitalization of experiences	Meetings / exposure visits	TFD / TA	Early planning; Periodically throughout project	Minutes of Meeting;
2. Community Engagement							
2.1	Village Workshops FPIC1	Village Representatives	Introduce Program concept; FPIC 1 guideline,	Presentation; Meeting;	TFD	During Village selection	Attendance list; Photo-Documentation;
2.2.	PRA/RRA	Village representatives / community members; inclusi on of women important "Para" wise consultation undertaken (Probably "para" wise it will be	Discuss current situation, problems and priorities, perceptions, and expectations; Resource and land use mapping Once it is possible to identify the actors in the landscape that will have activities undertaken, it will be useful to understand if there are any catchment	Participatory Workshop / FGD	Project / PRA facilitators	After village selection	Attendance list; Photo Documentation;

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No.	WHAT Information Disclosure	WHOM Receivers of communication	WHY Reason for needed action	HOW Means of communication	WHO Overall responsible person	WHEN Timeframe / Frequency	Indicators or means of verification
		easier, and should include all paras, not just where the plantation is taking place.)	communities who may need to be considered. Discuss the utilization and availability of resources, who is dependent upon what, seasonality and challenges.				
2.3	Village consultations	Village representatives; Community Members	Development of conservation and socio-economic investment agreements	FGD; Meeting	FD/ TA PRA facilitators	During development of VDP / conservation and socio-economic investment agreements	Minutes of Meeting; Attendance list; Photo documentation;
2.4	Rural- & Eco tourism; (if applicable)	Community members / Tourism businesses (if any)	Understand the role and development of rural and eco-tourism; Constraints and Opportunities	Meetings	FD/TA and external experts	After contracting expert for Tourism Strategy	MoM;
2.5	Agriculture & NTFP Value Chain improvement	Community members and gov. program representatives	Generate direct link between communities and government representatives, include agri-experts in trainings	Workshop / Training	TFD / TA external experts	After PRA – socio-economic actions	MoM;
2.6	E&S Training, and consultation processes	Representatives of GP / other village groups, VCW, VDPIC	Communicating the E&S aspects of the program, Impact mitigation	Meeting / Workshop	TA and external experts	After approval of SEF / ESMF	Minutes of meetings;
2.7	Grievance Redress Mechanism	Village communities; VDPIC / LRPC	Awareness possibilities to about lodge complaints	Leaflet / Oral communication during PRA	TFD / DPMA VDPIC	During PRA	Leaflet, Logbook; Grievance

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No.	WHAT Information Disclosure	WHOM Receivers of communication	WHY Reason for needed action	HOW Means of communication	WHO Overall responsible person	WHEN Timeframe / Frequency	Indicators or means of verification
3. Capacity Building and Trainings							
3.1	E&S training	TA staff, TFD staff, VDPIC/LRPC	Impact identification and prevention; Implementation of ESMP / ESCOP (as applicable)	Workshop / Training	Project / TFD	After approval of CEPF/ESMF	Training program, Photo documentation, Minutes;
3.2	Village Development Plan (VDP) Training	TFD and TA staff, VDPIC, VCW	Information/ Consultation about Village Micro Plan	Workshop / Training	Project / TFD	Just before VDP preparation	Training program, Photo documentation, Minutes;
3.3.	Conservation Awareness	Village community members, selected groups	Improvement of conservation awareness in view of introduction of VDP	Workshop / Training	Project / TFD	During VDP preparation	Training program, Photo documentation, Minutes;
3.4.	Proposal Writing Training	Village community members, selected groups	Improvement of community livelihoods	Workshop / Training	Project / TFD	During VDP LRP development	Training program, Photo documentation, Minutes;
3.5.	Financial Literacy Training / Business Planning	Village community members, selected groups	Improvement of community livelihoods	Workshop / Training	Project / TFD	During VDP LRP development	Training program, Photo documentation, Minutes;
3.6.	Exposure (in region), Visits	Village community members, selected groups	Exposure to best practices and peer-to-peer training	Workshop / Training	Project / TFD	During VDP LRP development	Training program, Photo documentation, Minutes;
4. Village Plan Development, Consultation and Implementation							
4.1.	Development of VDP	TA, TFD, VC, BMC other village groups	Preparation of VDP, prioritization of activities	Landscape Mapping, Conservation mapping, Land use mapping	TFD, TA	After PRA	MoM, Documentation; Photo

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No.	WHAT Information Disclosure	WHOM Receivers of communication	WHY Reason for needed action	HOW Means of communication	WHO Overall responsible person	WHEN Timeframe / Frequency	Indicators or means of verification
4.2.	Definition proposed zones and regulations	JFM and all communities, groups incl. women and vulnerable people	Awareness raising / increased support for VDP / JFM, joint decision making	Summary plan, Mapping	Project, TFD	During VDP development	MoM, Documentation; Photo
4.3.	Disclosure of VDP & prioritization of activities	Communities, all groups incl. women and vulnerable people	Awareness raising / increased support for VDP / JFM, joint decision making, GRM	Summary plan, Mapping	TFD VDPIC (supported by project)	After development of draft VDP	MoM, Documentation; Photo
4.4.	Implementation of VDP / Conservation Activities and Livelihood Restoration Plans	Village Council, JFM, BMC and VDPIC committees; Village groups (Youth, Women etc.)	Implementation schedule, funding, implementation, monitoring	Meeting facilitators with community groups	TFD VDPIC (supported by project)	After approval of VDP	Monitoring of implemented activities;

This stakeholder engagement plan (SEP) is preliminary and will need to be updated as activities progress.

3. Environmental and Social Management Framework (ESMF)

3.1. Introduction and Objectives of ESMF

This ESMF supports the assessment of the risks and potential impacts that may occur during implementation of Project activities. It sets out the principles, guidelines, and procedures to assess environmental and social risks, and proposes measures to reduce, mitigate, and/or offset potential adverse environmental and social impacts and enhance positive impacts and opportunities of the Project and its activities.

The purpose of this ESMF is to provide guidance to project implementation staff, to authorities and local communities as well as to contractors and any other stakeholders participating in planning and implementation of the Project. The ESMF supports the management of potential Environmental and Social impacts of project activities in planning, construction and operation through appropriate management tools.

The ESMF incorporates procedures, measures and general plans for:

- Environmental and social impact screening and –risk categorization, impact assessment and management, and monitoring of interventions planned under the project
- Arrangements for the implementation of the provisions of the ESMF, including amongst others E&S risk screening, assessment of impacts, implementation of E&S management measures, monitoring and reporting
- Capacity building measures for ESMF implementation for different stakeholders, depending on the respective responsibilities, tasks and existing capacities
- Supporting material / E&S tools for adequate ESMF implementation (Annex)

This ESMF takes up elements and replaces the existing ESMF developed during the Feasibility Phase (UNIQUE/GFA, 2019) and harmonizes the approach and measures with the other frameworks and tools e.g., CEPF, SEP, GRM, PF and LRP in order to avoid duplication and incoherence.

The ESMF required for the Project is designed to be based to the maximum extent possible on the overall program approach and its objectives. It shall be integrated / interwoven with the Project Work Plan.

3.2. Steps of ESMF implementation

For this purpose, E&S screening and scoping is made during planning of project activities, e.g., for a set / menu of eligible project measures (in line with conservation and sustainable livelihood objectives). Based on the results of the environmental assessment (risk assessment / Screening) commensurate impact mitigation tools are developed. These tools will be ESMPs for activities involving infrastructure construction activities and contracts with construction companies (e.g., for administration building) and ESCOPs for small-scale community self-implemented activities according to menu of measures. Periodical ESMP and ESCOP implementation supervision activities are described in this ESMF.

The ESMF risk assessment and development of appropriate mitigation measures will put an emphasis on Pollution Prevention, Waste Management, Biodiversity Risks, Social risks e.g., for vulnerable people and gender equality, Core Labour Standards (ILO), Health & Safety risks for workers and affected communities including EHS provisions for Forest Harvesting Operations. E&S provisions to mitigate the identified risks will be included in Management Plans, Action Plans and Operation Manual.

The responsibility for implementation of measures will be defined according to project phases. During the planning phase, measures to avoid impacts will be included in the Management Plans and Action Plans as well as in an Operational Manual and Community Agreements on VDP implementation in which the foreseen measures would be fixed.

The Grievance Redress Mechanism (GRM), which is described in the CEPF, is also relevant for the ESMP / during implementation of activities.

Monitoring actions for implementation of ES tools are defined as well as a tentative schedule for implementation and required resources.

3.3. Preliminary ES Screening of risks by impact categories

The E&S screening is an early step of assessing potential impacts of different categories of project activities.

The following table summarizes the screening of potential environmental and social impacts of the program. At this stage, a minimalistic screening approach based on impact significance is used. During planning of site-specific activities, each activity will be screened with a checklist and appropriate ESCOP /ESMP tools will be applied.

Impact significance:

Major	Moderate	Minor	Negligible	Positive
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In the following table, potential impacts at receptor level are analysed for the activities presenting potential risks and risk significance is rated. A differentiation in physical impacts (P), Biodiversity impacts (B), Social Impacts (S), Health and Safety Impacts (H&S), Cultural Heritage Impacts (CH) and Climate Change Impacts (CC) is made.

Table 17: Impact screening by impact categories

Potential Impacts	Impact Significance of project activities	Project Activities (causing the impact)	Comment
Physical impacts (P)			
P1. Soil resources - <i>Erosion</i> - <i>Removal of topsoil</i> - <i>Pollution through plastic / micro plastic</i>	Minor / positive	Road Improvement Activities Water Infiltration /bundling, trenching is positive for water situation Pollution risks through plastic use in tree plantation	<ul style="list-style-type: none"> • Soil preparation activities, water harvesting, bunding/trenching according to good practices otherwise risk of soil losses & erosion, no access roads through steep slopes • Fodder Production and NTFP production as positive impact (Agroforestry) • Positive impact could be increased with additional measures to reduce erosion (e.g., gully rehabilitation, road side protection, flood prevention gabions in rivers/streams) • ESCOP to be developed for activities involving soil removal / soil management • For above activities, project will need to put effort on convergence with other public schemes.
P2 Water Resources - <i>Diversion for Water supply may lead to scarcity downstream</i> - <i>Water pollution (chemicals, waste, micro plastic from plantations)</i>	Moderate for downstream risks/ positive for water supply	Small scale drinking water improvement (if selected) Threat: mining development, plantations that require irrigation Threat: Increased use of pesticides with modernization of agriculture may lead to water pollution	<ul style="list-style-type: none"> • Minimum eco-flow to be respected for small scale community irrigation / water supply schemes (no overuse of water resources) • If diversion of stream water for plantations, downstream risks for communities to be checked and consultations to be made • Make sure to avoid water pollution upstream of drinking water catchment areas, no use of chemicals, piggery development not upstream of drinking water sources • Waste-Management related to plastic waste • ESCOP for water supply activities.

Potential Impacts	Impact Significance of project activities	Project Activities (causing the impact)	Comment
P3 Air Quality	Minor	Road rehabilitation (if selected)	<ul style="list-style-type: none"> Limited and short-term pollution by dust for transportation of materials Dust prevention measures for road rehabilitation measures in ESCOP (if selected) Insignificant for other activities Convergence with other public schemes will need to be established.
P4 Noise pollution	minor	Noise of machines for large scale construction activities (SWC)	<ul style="list-style-type: none"> For activities with machine use personal protection equipment, e.g., ear protection is recommended No noise pollution, no use of machines in settlement areas is planned.
P5 Waste management	moderate	Avoidance of plastic use, prohibition of littering during all project activities / local TFD staff not aware	<ul style="list-style-type: none"> Minimization / Avoidance of plastic bags/pots for nurseries and plantation aids/plant protection Removal and proper disposal of all plastics used for plantation activities Awareness raising to avoid littering during project activities, not throwing plastic bottles, cups etc. into landscape Community waste management to be included in trainings (sofar most of waste is organic) but plastic (e.g., bottles) are spreading rapidly.
P6 Hazardous Wastes	moderate	Solar equipment with lead batteries (if selected)	<ul style="list-style-type: none"> Batteries of solar appliances are dysfunctional after 3-5 years and need to be disposed-off, or recycled If selected the waste management of batteries needs to be included and a solution developed / risk of soil and water pollution
Biodiversity Impacts (B)			

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Potential Impacts	Impact Significance of project activities	Project Activities (causing the impact)	Comment
B1 Landscape Changes	positive	Project has landscape approach, concept how to bring all villages of one landscape together, zoning concept	<ul style="list-style-type: none"> Village boundaries may be sensitive / conflictual issues, should be addressed during PRA; mediation concept tbd; Neighbouring communities of a village/para to be involved / consulted; users to be included as stakeholders Perspective of joint approach to conservation is positive.
B2: Land Conversion (outside threat)	Moderate	Outside threats on community lands / plantations / mining	<ul style="list-style-type: none"> Land conversion is excluded in the project (MoU) Threat of land conversion through sale or permit for investors by VC / clan land owners may have negative impacts on project objectives → awareness raising required.
B2 Flora / Habitats	Moderate	CCA planning, Biodiversity registers / Zonation / Sustainable harvesting of NTFP	<ul style="list-style-type: none"> Sustainable pasture management increases biodiversity compared to forest regrowth, overgrazing to be avoided, but no use (of high alpine meadows) is also no objective Tree biodiversity should be increased, NTFP biodiversity to be considered More sustainable use of jhumland (increased Jhum cycles) to be promoted Landscape approach to increase biodiversity value incl. agrobiodiversity is recommended.
B3 Fauna / Habitats	positive	Alternative community livelihoods Conservation awareness and acceptance	<ul style="list-style-type: none"> Inclusion of habitat improvement measures in Management Plan Alternative livelihoods to improve acceptance of conservation Awareness raising and creation of conservation

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Potential Impacts	Impact Significance of project activities	Project Activities (causing the impact)	Comment
			motivation & enhancing acceptance.
B4 Fauna -Hunting / Poaching	Moderate	Addressing Hunting issues (if applicable in project activities) Monoculture plantations are reducing fauna biodiversity	<ul style="list-style-type: none"> • Risk of reducing effectiveness of protection • Hunting is an issue in villages, in adjacent areas due to animal movement, cooperation of hunters is needed, alternative livelihoods for professional hunters, acceptable regulations instead of total ban • Involvement of Youth in awareness raising and patrolling.
B5 Biodiversity / Reforestation	moderate	Alternative livelihoods of PAPs may put strain on biodiversity / forests	<ul style="list-style-type: none"> • Overgrazing risks in pasture and forest areas → to be assessed • Piggery development may lead to deforestation due to increased fire-wood need for pig feed cooking → pig feed production without cooking using agricultural residues is recommended • Risk of conversion of forest areas into plantations • Selection and promotion of appropriate species composition for replantation; eco-system value should be considered not only market value; high biodiversity value to be emphasized.
B6 Alien invasive species (flora and fauna)	Negligible to minor	Nursery, Plantation, Fish re-introduction, Aquaculture (if selected)	<ul style="list-style-type: none"> • No invasive plant species to be introduced in replantation activities • No invasive fish species to be introduced in aquaculture or used for fish re-introduction in rivers, No large-scale aquaculture.
Social Impacts (S)			
S1 Land acquisition & Resettlement / Physical displacement	minor	No activities involving physical displacement	<ul style="list-style-type: none"> • Land Acquisition and physical Resettlement (LAR) is excluded by design, otherwise development of

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Potential Impacts	Impact Significance of project activities	Project Activities (causing the impact)	Comment
			<p>resettlement action plan (RAP/LARAP) is required (ESS 5)</p> <ul style="list-style-type: none"> No infrastructures creating LAR impacts (roads etc.) are eligible.
S2 Access Restrictions / economic displacement	Moderate	Planning of plantation management regulations, alternative livelihoods	<ul style="list-style-type: none"> Existing access restrictions to be managed in more differentiated way Access restrictions for planting activities to be mitigated through Livelihood Restoration Plans and or through sustainable use agreements in plantations Voluntary access restrictions are preferred, agreement with PAPs on alternative livelihoods (LRPs) Involvement of all users if access restrictions are to be modified → sustainable uses to be encouraged.
S3 Access to resources: exclusion risk in distribution of assets; Support for vulnerable people;	moderate	Community Activities / Socio-Economic Investments; risk to exclude vulnerable users	<ul style="list-style-type: none"> VDP development should ensure free participation of everyone, especially focus on PAPs Investments to create benefits for entire community Encourage participation of vulnerable people (old aged, single women, landless) through facilitation, Conflicts in groups and between groups → traditional conflict solving mechanisms to be used and a project grievance mechanism to be set-up.
S4 Gender	moderate	<p>Risk that women are excluded as they are usually not present in committees and have many other chores during times of meetings</p> <p>Participation in PRA and VDP</p>	<ul style="list-style-type: none"> Inclusion of Gender concerns in Management Planning Effective participation of women in decision making on investments to be encouraged / Encouragement of female rangers Women groups to be encouraged Schedule of meetings to be agreed with women and organized when they are free

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Potential Impacts	Impact Significance of project activities	Project Activities (causing the impact)	Comment
		development, Socio-Economic Investments, voluntary use restrictions in forest management	<ul style="list-style-type: none"> ESMP for Construction works to include measures to avoid gender discrimination.
S5 Income generation / Employment	positive	Socio-economic investments	<ul style="list-style-type: none"> The project has a strong income generation/ livelihood improvement objective Value Chain improvement for sustainable NTFP collection / marketing, medicinal plants, weaving / garment production, agriculture-based livelihoodactivities Other Income generation.
S6 Labour and Working Rights	minor	Community construction activities	<ul style="list-style-type: none"> Working conditions and work results need to be monitored Personal Protection equipment, sanitary conditions, safe drinking water supply No child labour for infrastructure activities (child involvement should not go beyond usual household tasks) Provisions to be included in ESCOP / ESMP.
S7 Indigenous Peoples (IP)	Positive	All project communities are considered IP (ST) communities / vulnerability focus includes also SC and OBC vulnerable people	<ul style="list-style-type: none"> Vulnerability focus is applied for village communities FPIC approach applied for community engagement process throughout the project/project period.
S8 Conflict solving mechanism	Positive	Potential conflicts can be addressed through various communication and conflict mediation mechanisms	<ul style="list-style-type: none"> Traditional Conflict Solving Mechanism PlusProject GRM: People to be informed, GR documentation and follow-up.

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Potential Impacts	Impact Significance of project activities	Project Activities (causing the impact)	Comment
Health and Safety Impacts (H&S)			
HS1 Community H&S, Pollution, STDs, other	negligible	Adverse Health effects of Community Activities	<ul style="list-style-type: none"> Risk of Community Health impacts is negligible.
HS3 Occupational and Community H&S	Minor	Construction of community and SWC infrastructure	<ul style="list-style-type: none"> Accident risks during machine use, Personal Protection Equipment to be provided ESCOP for community infrastructures (as applicable).
Cultural Heritage (CH) Impacts			
CH1 Immaterial Heritage Indigenous Knowledge / Biopiracy Physical disturbance / destruction of heritage sites /	Positive / Minor risk	Valuation of immaterial cultural heritage may lead to biopiracy risks Physical Cultural heritage not affected	<ul style="list-style-type: none"> Positive valuation of indigenous knowledge / medicinal plants is positive; precaution if risk of biopiracy is perceived e.g., through Peoples Biodiversity registers No disturbance of physical heritage: Activities causing disturbance to CH sites are not eligible.
Climate Change Impacts (CC)			
CC1 Impact on CC e.g., Emissions / or reduced sequestration	Slightly positive	All activities	<ul style="list-style-type: none"> The project does not cause deforestation or emissions of greenhouse gases No negative impact on Climate Change.
CC2 Impact of CC on growth and suitability of species composition	Moderate	CCA management	<ul style="list-style-type: none"> Management of forest areas to be adapted to CC conditions (variety of different micro-zones, plantation of climate change resilient trees, fire management (Jhum limited to horticulture), water retention / water harvesting options).

Legend: Physical Impacts (P), Biodiversity Impacts (B), Social Impacts (S), Health and Safety Considerations (H&S), Impacts on Cultural Heritage (CH) Climate Change Impacts (CC),

Based on the results of the environmental assessment (risk assessment / screening) commensurate impact mitigation tools are developed. These are ESMPs for activities involving infrastructure construction and contracts with construction companies and ESCOPs for small-scale community self-implemented activities according to menu of measures. The ESMF risk assessment and development of appropriate mitigation measures will put an emphasis on Pollution Prevention, Waste Management, Biodiversity Risks, Social risks e.g., for vulnerable people and gender equality, Core Labour Standards (ILO), Health & Safety risks for workers and affected communities including EHS provisions for Forest Harvesting Operations. Periodical ESMP and ESCOP supervision activities are described in this ESMF.

3.4. E&S Risk Categorization for eligible project activities

The planned project activities present a moderate (Cat B.) or low (Cat. C) risk. However, as some activities require substantial physical works, the community engagement approach is challenging, economic displacement cannot be excluded to some extent and communities belong to indigenous peoples' communities, the overall proposed project ranking is "B".

High E&S Risk (Cat "A")	Substantial E&S Risk (Cat. "B+")	Moderate E&S Risk (Cat. "B")	Low E&S Risk (Cat. "C")
<p>Activities with a wide range of significant or high adverse impacts and risks on human populations and/or the environment that are diverse, irreversible and unprecedented. This includes activities that are complex in nature, large or very large in scale or located in an environmentally or socially sensitive location.</p> <p>The impacts may extend beyond the activity site, the areas of construction and/or the direct activity area and require specific mitigation measures that go beyond standard solutions and state of the art technologies.</p> <p>Category A activities need to undergo a full Environmental and Social Impact Assessment (ESIA) process per the KfW Sustainability</p>	<p>Activities with substantial impacts and risks on human populations and/or the environment are those where impacts occur in single areas that show a higher risk than category B activities but not as diverse and unprecedented as for A activities.</p> <p>Category B+ activities require full-fledged Environmental and Social Impact Assessment (ESIA) and Environmental and site-specific Social Management Plans (ESMPs) are required. Other examples of relevant safeguard instruments include Resettlement Action Plan (RAP), Process Framework (PF), Livelihood Restoration Plans (LRP)</p>	<p>Moderate adverse impacts and risks on human populations and/or the environment that are usually limited to the site and manageable with standard solutions and state of the art technology as part of ESMPs and LRPs.</p> <ul style="list-style-type: none"> Economic displacement needs to be avoided as much as possible Use- and access restrictions affecting vulnerable PAPs Livelihood Restoration Plans (LRPs) need to be developed. <p>Moderate risk activities:</p> <ul style="list-style-type: none"> Avoidance by design is often possible No complex and/or large extent of physical works, but require mitigation plans to manage 	<p>Low or insignificant adverse risks or impacts on human populations and/or the environment.</p> <p>Low risk activities include:</p> <ul style="list-style-type: none"> Small to medium rehabilitation of existing infrastructure Sustainable agriculture / NTFP use / processing No disturbance of natural habitats of any kind Water flows exceed existing demand in drinking water improvement No potential erosion problems No impact on known tangible or intangible cultural heritage Land tenure rights and resource access are well defined and verified Groups with livelihood in the activity area have equitable access,

High E&S Risk (Cat "A")	Substantial E&S Risk (Cat. "B+")	Moderate E&S Risk (Cat. "B")	Low E&S Risk (Cat. "C")
Guideline. Other examples of relevant safeguard instruments include Resettlement Action Plans (RAP), Process Framework (PF), Indigenous Peoples Plan and/or Framework (IPP/IPPF).		environmental and/or social impacts <ul style="list-style-type: none"> Critical habitats may exist but are not harmed by project activities (otherwise cat. B+) 	including voice and benefits
Excluded from consideration / not part of Menu of Measures	Excluded from consideration / not part of Menu of Measures	E&S Screening and Development of a site-specific ESMP / include in Tender docs of constructor, E&S supervision of work	E&S Screening Checklist and Identification and Guidance for applicable ESCOP(s), E&S Training, Community Compliance

According to the risk assessment table, Cat A and B+ activities are excluded from the project.

Cat. B activities (most activities that require hiring of construction contractors) would require higher ES management standards and the development and implementation of ESMPs. For activities that require hiring of construction contractors E&S screening checklist needs to be completed and site-specific ESMPs are to be developed. For sub-projects implemented by the communities (most likely Cat. C activities) E&S screening checklists and site-specific ESCOPs or no additional measures will be required, depending on the screening result.

From E&S perspective, the project is suggested to be ranked as a Category B project, for the challenging community engagement approach and the high participatory requirements in working with indigenous people's communities including voluntary and involuntary use restrictions / economic displacement of vulnerable people, for whom Livelihood Restoration Plans (LRP) will have to be developed. Major Soil and Water Conservation Measures would probably fall under Category B from environmental and social impact perspective.

Many of the planned small-scale, community-based activities would be ranked category C and require an impact mitigation with checklists and ESCOPs. A thorough E&S screening based on checklist during planning and decision making of physical project activities should be applied as the main impact mitigation tool.

3.5. E&S Impact mitigation tools

The purpose of the following environmental and social impact mitigation tools is to identify and describe which further precautions, mitigation measures, or studies are required in order to mitigate adverse impacts from the Project activities. The overall principles of impact reduction are avoidance, minimization and mitigation (to be applied in this hierarchy).

Activities which cause social impacts, such as access and use restrictions or changes in availability of resources, which affect local vulnerable people (ST, SC, women headed households, PwD), who have been dependent on these resources. Susceptible activities are plantation works, re-forestation of Jhum areas, Soil and Water Conservation measures etc. It is important to note that LRPs are required even if the land belongs to the government and people have been using it traditionally, informally or illegally. The applicable eligibility and entitlements are detailed below.

For environmental and social impacts with a moderate significance, an ESMP has to be developed. This is relevant for the bigger construction works. As a rule of thumb, involvement of construction companies would trigger a construction ESMP. Other impacts with rather low significance can be mitigated with appropriate Environmental and Social Codes of Practice (ESCOP). Self-implemented projects by communities are likely to fall in this category. Activities with negligible or positive impacts may work with a checklist to identify how positive impacts may be increased.

If adverse impacts arise, which cannot be solved in a practical and timely way, corresponding activities or sites should be rejected and activities or project sites should be prioritized which present less impacts / risks. The Grievance Redress Mechanism (GRM) (see CEPF) will be active and people informed about it for all activities throughout the entire project period.

3.5.1. Environmental and Social Management Plan (ESMP)

ESMPs will be required for infrastructure works, which are either made in sensitive environments (Protected Areas) and/or which are of a scale that they will involve (sub-)contracting a construction company. The ESMP will address all ES safeguards and mitigation measures, which the construction company will have to implement. It will be included in the tender documents of the construction company. During detailed design of the infrastructure, the ESMP will be updated.

The ESMP needs to be detailed for the planned construction based on the detailed architectural design and included in the construction contracts. For most of the planned activities so far, no ESMP would be required, as scale of investments will be small and mostly self-implemented by communities. No use of construction contractors.

A generic ESMP is presented in the Annex. However, for mitigation of low-level impacts in this project, E&S checklists and ESCOPs will be the main mitigation tools.

3.5.2. Environmental and Social Code of Practice (ESCOP)

The Environmental and Social Codes of Practice (ESCOP) for the Project are developed for the activities that fall under low-risk Category C projects. Despite low risk of severe environmental and social impacts, there still will be impacts to be avoided in planning or mitigated during implementation. This could relate to avoidance of pollution by waste management or avoiding of accidents through Health and Safety measures. The ESCOPs provide a checklist for potential impacts as a guidance document and Do's and Don'ts for specific activities. These will need to be assessed, filled and specific provisions made accordingly. For relevant specific activities according to Menu of Measures, further ESCOP guidance will be developed when the activities are determined. A Checklist for potential impacts and a standard ESCOP table is presented in the Annex 16.8.

4. Implementation Arrangements for CEPF and ESMF

4.1. Organizational set-up and responsibilities for E&S

Several institutions at state and local government have a direct role for implementation of the project including CEPF and ESMF:

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Table 18: Organizational responsibilities for CEPF / ESMF implementation

Project Entity	Staff	CEPF / ESMF related activities (incl. FPIC)
PMA	PIO	<ul style="list-style-type: none"> • FPIC Focal Officer & Facilitator at PMA. • GRM Officer at PMA or GRM Cell at PMA. • Ensures that the CEPF including the FPIC and GRM guidelines are developed and has No Objection from KfW. • Ensures that FPIC facilitators and GRM focal points at DPMA, Block and VDPIC/LRPC are adequately capacitated or trained on FPIC & GRM processes. • Provides all necessary project related information and documents to the DPMAs for sharing the information with the communities for community discussions and giving consent or no consent. • Oversight and periodic monitoring/review of the FPIC & GRM implementations in the project. • Formal custodian of all the community consents to establish CREFLAT project implementation. • Formal custodian or focal officer on the GRM as well as grievances/complaints or resolutions of the grievances under FPIC and GRM. • Reviews the Monthly Monitoring Report of the GRM. • Ensures that all reports relating to FPIC consent or no consent and decisions on complaints / grievances are periodically brought to the attention of the PMA authorities including the Project Director (CEO/PD) and Assistant PD, and any other at the Project Management.
DPMA	District-level GRM Officer	<ul style="list-style-type: none"> • The designated district-level Community Engagement / Stakeholder communication & GRM Officer will coordinate all matters relating to FPIC including the GRM. • Ensures that Block level and community level GRM focal points are adequately trained or capacitated in FPIC and GRM including the TA and VCWs. • Pro-actively follow-up with the Blocks and VDPICs that all FPIC processes are concluded timely including for the various project activities requiring community consent. • Ensures timely availability of project documents to the Block level project staff for community information for consent. • Swiftly address all complaints / grievances received. • Formal custodian of all matters relating to the FPIC and GRM records.
Block	Block-level GRM Officer	<ul style="list-style-type: none"> • The designated Block-level GRM officer or focal person will facilitate and take lead in all matters of establishing FPIC processes and products including the grievance or complaints matters. • Facilitate in organizing all the project related documents and information that will be given or shared with the communities for seeking community consent. • The Block GRM Officer will also receive all the FPIC and GRM reports for onward transmission to the DPMA.
Community Representatives	Community leaders	<ul style="list-style-type: none"> • Prior to formation of VDPIC, the project staff (primarily the DPMAs or Block level project team including the Technical Assistants or TAs and Village Community Workers or VCW) will facilitate the FPIC

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		<p>processes in the village by identifying and selecting the community representatives that will deliberate for accepting the formation of the VDPIC.</p> <ul style="list-style-type: none"> • Project staff will provide all the necessary project documents and information for the purpose of the community meeting/discussion for giving their consent or not giving consent. • Project staff will support or guide the community leaders or representatives in recording the FPIC processes in the prescribed formats for consent, minutes of the discussion, attendance sheet of the meeting participants, photographs, etc. Resolution passed by the community meeting may also be appended.
VDPIC	President / Secretary	<ul style="list-style-type: none"> • Post-VDPIC formation, the President/Secretary will be given adequate capacity building for implementation or establishment of FPIC leading to community consent including GRM processes for grievances. • President/Secretary will lead in the CEPF/FPIC processes including organizing community meeting/discussion on project activities requiring community consent. • President/Secretary of VDPIC will record the community consent, minutes, attendance sheet, etc. for onward transmission to the project as per the standard formats. • Development of VDP and activities therein such as plantations, SWC, LRP, etc. will require FPIC processes and community consent, all of which ought to be facilitated by the VDPIC with the help of project staff including VCW, TA, Beat Officer, Range Officer, etc.
LRPC	LRPC President or GRM focal person	<ul style="list-style-type: none"> • LRPC receives the complaints/grievances from individuals or groups relating to the project or project activities. • Acknowledges the receipt of the grievances or complaints. • Brings the complaints or grievances to the attention of the VDPIC for possible resolution at the VDPIC level. • If the complaints/grievances cannot be settled, the complaints / grievances are forwarded to the Block level GRM Officer.

Main responsible for CEPF and ESMF implementation is the PMA; activities are executed by the TFD / NRMST and support in form of trainings. Monitoring is given by the consultant (permanent project staff and E&S team).

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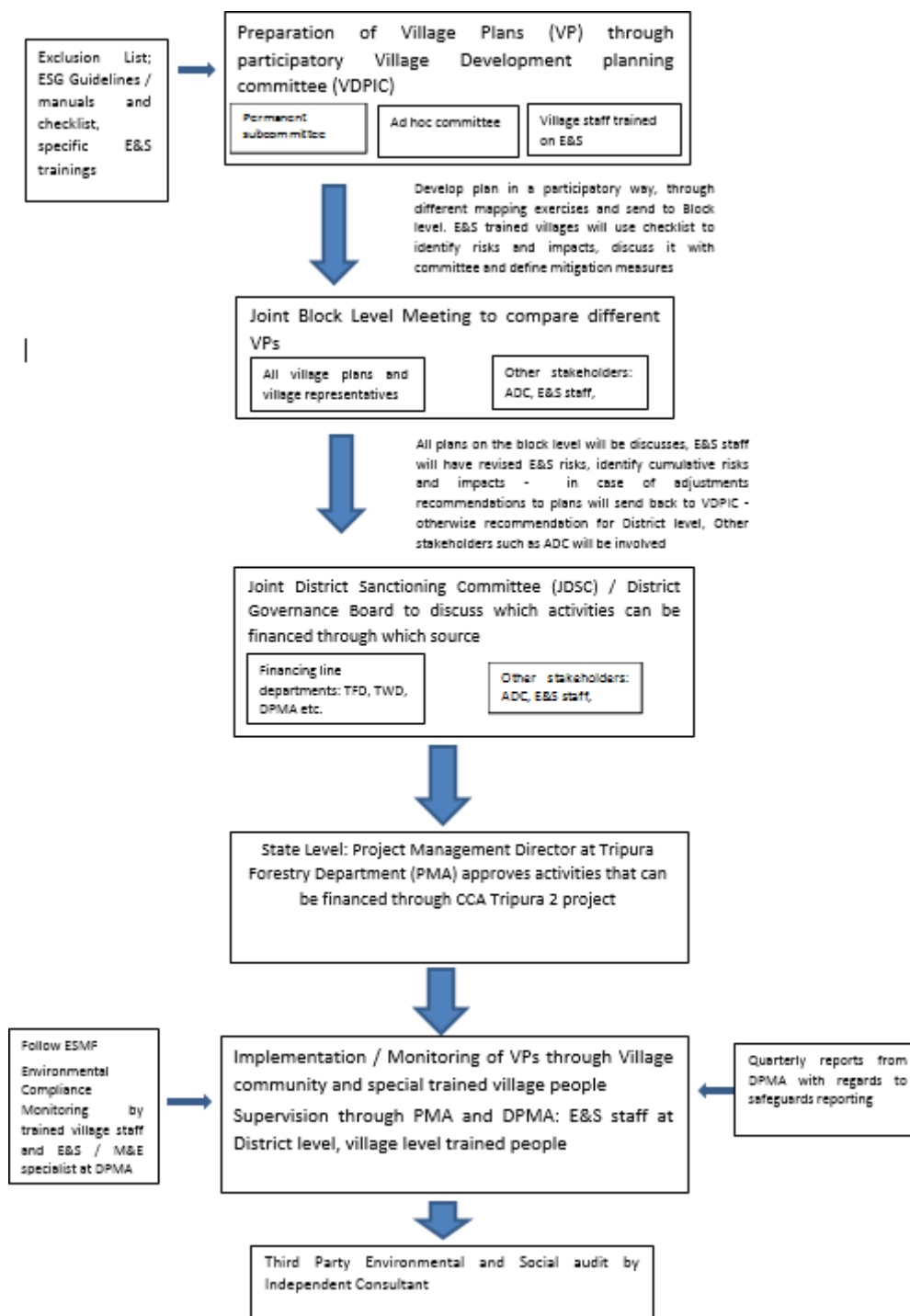


Figure 11. Organizational Arrangements for CEPF and ESMF implementation.

The PMA has the overarching responsibility for monitoring and reporting, but is supported by GOPA through verifications and quality-assurance support, including periodical site visits. Progress reports will reflect on on-going corrective actions (where needed), lessons learned and provide an overview of adjustments made to improve the environmental and social management and performance of the Project.

In order to facilitate, the following institutional management procedures must be in place of documenting process and recording keeping related to:

CEPF activities to be documented include:

- Stakeholder assessments
- Information and Consultation Process from FPIC 1
- MoM of stakeholder consultations
- Minutes of meetings, photo documentation
- Documentation of PRA process and results including participatory mapping
- Documentation list of activities to be implemented according to Village Development Plans (VDP)
- LRP development, implementation and monitoring related to economic displacement (involuntary access restrictions / vulnerable people)
- Community Agreements of priority actions from VDPs (FPIC)
- Involvement of communities in implementation of conservation and livelihood measures
- Information & Consultation of PAPs related to other measures (e.g., afforestation / plantations / SWC, etc.)
- Trainings conducted; information shared

ESMF implementation:

- Training and briefings of ESMF principles and operational procedures, including environmental health and safety (where required)
- Screening and scoping forms for projects according to VDP
- Mitigation actions pertaining to each community, including ESMPs and ESCOPs (as applicable and determined in scoping)
- Institutional responsibilities for environmental and social due diligence for each community
- Documentation related to voluntary resource restrictions (community consent and signed agreements, if applicable)
- Grievances records for Communities and other interested parties

4.2. Capacity Building and Trainings

In order to effectively implement the required CEPF community engagement and stakeholder consultation activities as well as the ESMF mitigation measures, a number of trainings and E&S support activities are planned for PMA, TA and community facilitators to be implemented by Nat. and Int. E&S experts and other project team members e.g., ACTA. Community facilitators are hired by TFD for the implementation of the community engagement approach (FPIC process).

In July / August 2022, an initial screening of the Project outputs was conducted together with a field visit to sample project villages.

In November 2022 two introductory training workshops on E&S safeguards (CEPF and ESMF), were conducted in the project district headquarters Ambassa and Dharmanagar.

Further trainings on CEPF- FPIC steps, ESMF tools and monitoring and reporting provisions will be conducted to support the TA and TFD. The Nat. E&S expert will be involved in providing the trainings to the community facilitators, who will then be involved in implementation at community level. A hands-on training / learning by doing is recommended for facilitators in the first villages. This will start in early March 2023, conducted by the National E&S expert and accompanied online by the Int. E&S expert, where required.

A next field mission of the Int. E&S expert is planned for fall 2023. A tentative training plan is presented in Chapter 4.2.

Table 19: E&S capacity building and training plan

No.	Training / Content	Time Frame
1	Presentation of CEPF / ESMF approach and discussion with Project Team and PMA	Early in project implementation, and to be available for anyone who joins the team

No.	Training / Content	Time Frame
		later as an introductory briefing
2	Project E&S requirements, presentation and discussion with Project Team in Agartala and in District and at block level with processes to be used	Early in project implementation and also an annual refresher – half day
3	VDPIC formation training (by PMA); include E&S content into the training on VDPIC formation; Capacity strengthening of VDPICs is crucial; Include coordination of VDPICs and JFMCs	Early in project implementation; Backing and support through village leadership is crucial. Involvement of women and involvement of PAPs from vulnerable group is crucial.
4	E&S trainings related to specific issue / e.g., for plantations, SWC measures, value chain development, etc.	Early in project implementation as well as per request throughout project. The training will not be carried out by E&S staff, but E&S aspects should be included in this training. E&S Briefing of specialists who deliver the training by E&S experts.
5	Use of the stakeholder consultation process and how to undertake consultations, stakeholder engagement: VDC, VCW, JFM committee, Ranger, TA at block level, TO at District level and other actors like Tribal Council if involved	Early in project implementation, and semi-annual refresher workshop with hands on training
6	How to create inclusion in community decision-making – all levels of implementation to understand and can be a part of the stakeholder consultation process? But must also include identification of stakeholders as a specific section. If required, this can also be a separate sub-module for annual refreshers to implementing teams.	Early in project team for TFD and TA As implementation area identified for VCW, and teams at block and GP/Para level
7	Joint training session with TFD to include E&S safeguard procedures / checklist and tools in Village Management Planning and conservation and livelihood agreements	Early in project implementation for TA and TFD Prior to any village level plan development, a short training for the team involved in leading the process, especially the village level committee Annual workshop to refresh and strengthens skills and answer problems
8	Screening of project actions for E&S and use of existing E&S tools such as screening tools, ESCOP etc. TOs at State, District, TA and ranger. VCW to be trained for its application too, as hired.	Training early in project implementation Annual refresher and discussion through workshop and if found appropriate, a short field visit
9	Development and use of ESMP FD, DPMA, VDPIC, VCW	TA, TFD, VCW involved in project implementation, at project start Annual refresher, for TFD and VCW
10	FPIC awareness, need, process and use. For implementation team, the process and how to implement.	Find other actors like Tribal Council if involved, and VCW, at start of project. Village level teams such as for VDPIC and JFM committee to be involved as a part of initial project activities. Tribal councils, if not already aware may also be included here.
11	GRM implementation and management for TFD and TA; implementation team at the village and block level.	Early at project start, and annual refreshers. Members of the GPs involved in the landscape to be made aware of the

No.	Training / Content	Time Frame
12	Development of E&S monitoring plan for each landscape and yearly joint monitoring actions according to implementation of sub-projects TA and TFD, VCW	system Early in project start, annual refresher course.

The training plan will need to be adjusted according to project progress. Other required trainings by TFD / TA can be included upon request / need assessment.

4.3. Monitoring & Evaluation, Supervision and Reporting

The implementation of the CEPF / SEP and ESMF will be monitored. Therefore, a documentation of all procedures and activities, information disclosure, discussions, negotiations and decisions throughout the process of community planning, including dissent and failure to reach consent is required.

Documentation includes:

- Invitations and agendas for meetings and events: make sure that the participants are pre-informed about the agenda for the consultations, community meetings, deliberations, events etc.;
- Attendance records: list of participants of the meeting;
- Village Consent Form / for Investment Agreements;
- Grievance Form: documentation of any grievances raised by village participants, either to VDPIC / LRPC or TFD or TA (if nothing else is successful);
- Photos and videos of activities;
- Others, as appropriate and depending on topic;
- Monitoring reports: monthly, quarterly, half yearly monitoring reports;
- All records shall be collected and stored with the project (consultant) and then the PMU.

The documentation of implementation of ESMPs / ESCOPs shall be made based on specific activities. If physical activities are implemented, photos and videos of the project execution shall be made.

Table 20: Monitoring of Environmental and Social Performance

Issue	Indicator	Verification Sources
Community participation	Community satisfaction with CREFLAT investments according to VDP development and implementation	Documentation of FPIC, VDP implementation, Grievance mechanism
Improvement of forest management regulations and management practice	Community forest protection and improvement efforts are increased and successful Forest crown cover increased in area of plantation and no additional areas opened up Better harvest of NTFPs traditionally available. Institutions as VDPIC, CBCA, LRPC and BMC are functioning in villages;	Site inspection Scientific Monitoring data on biological / physical indicators; Social Monitoring by consultation with PAPs and village group members / community members
Livelihood impact related to socio-economic investments; LRPs in case of use restrictions for vulnerable PAPs	Livelihood impact of beneficiary households is improved. Positive examples of sustainable livelihood activities are documented and promoted; LRPs for PAPs are developed and successfully implemented	Self-evaluation of beneficiary households, mid-term and final evaluation; Survey on LRP implementation
Implementation of E&S system	Checklists and other formats filled in and identified impacts a part of project plan and regular reporting documents	Regular reports contain sections of E&S reporting, including the relevant checklists (see Annex);

Issue	Indicator	Verification Sources
		also GRM report
Labour and working conditions	Low prevalence of work-related accidents and injuries – no grievous injuries reported, Working OHS system and other required facilities in place and accessible to all. Complete adherence to non-discrimination and equal opportunity No child or forced labour Voluntary contribution of labour from community members	Training records related to Environmental Health and safety Incident records Grievance mechanism Formal contracts Community consent agreements for work contributions in conservation agreements
Community health and safety	Low prevalence of activity related accidents, injuries Community health improvements, Reduction of human-wildlife conflict (HWC)	Incident records Grievance mechanism
ESHS monitoring & reporting	KfW template to be filled Issues identified in the monitoring system addressed according to existing timelines.	Indicators of KfW template and follow-up action. Minutes of discussions
Serious incident reporting	Due to limited scale of works not very likely, but available in case of need; template for SI to be filled	Number and severity of incidences

E&S Monitoring will be done by the project including the E&S specialists through periodical project visits, but also by project staff and PIAs / community facilitators. For quarterly ESHS monitoring the attached template shall be used by the project. Project CTA will be responsible for Quarterly reports including ESHS reporting.

4.4. Costs and Budget for CEPF and ESMF implementation

The following budget items are relevant for CEPF / ESMF implementation. The budget is partly included in other budget items of the project plan, and can be used as initially planned for E&S tasks, in some cases additional budget will have to be re-allocated from other budget items (e.g., FPA activities re-allocated from budget of research institutions and EPA). The level of detail to be further increased by project management. The following table shows main relevant budget items and responsibility.

Table 21: Main CEPF and ESMF budget items

No.	CEPF / ESMF activity	Estimated Budget in EUR	Budget source and execution responsibility
1	Development of CEPF / ESMF		Incl. in consultant budget; ES experts
2	Village selection and information&consultation / FPIC 1		Included in project budget; done by DPMA
3	PRA and baseline study (FPIC 3)		PRA budget taken from budget for research and livelihood component; PRA conducted by DPMA/TA/VCW.
4	Information / Consultation on Entry Point Activities (EPA) budget, Planning of EPAs, Implementation of EPAs (FPIC 3)		Existing budget Planning and implementation by DPMA (and Communities)
5	Participatory development of Village Development Plans(FPIC 4)		Existing budget Planning and implementation by DPMA

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			(and Communities)
6	Concluding FPIC agreements on selected activities from VDPs (FPIC 5) with communities and directly affected PAPs		Existing budget Planning and implementation by DPMA (and Communities)
7	Implementation of VDP activities, implementation of E&S checklists and ESCOPs, Supervision of ESMPs		Existing budget Planning and implementation by DPMA (and Communities)
8	Grievance Mechanism		Staff salary / additional task (source of budget tbd) By DPMA / PMA
9	SEP implementation / stakeholder meetings		included in PMA budget By PMA / field staff /
10	Trainings / peer to peer exposure visits		Incl. in project budget as training; Planned and executed by IC project team
12	E&S Baseline Survey		Integrated in overall baseline survey budget Done by subcontracted consultants
13	ESMP / ESCOP implementation and E&S supervision of community works		Budget to be addressed. Supervision of works to be done by DPMA
14	E&S Training & Capacity building		General training incl. in consultant budget (FPA and CEPF & ESMF presentations and workshops); Training of facilitators / local staff done by PMA, IC E&S experts
15	Monitoring of CEPF and ESMF implementation		Field level monitoring by PIAs and PMA (self-monitoring) Partially included in consultant budget / monitoring field visit by IC-ES experts / project staff
16	E&S reporting (quarterly and half-yearly reports)		Consultant CTA (with support of PIAs and PMA)
17	E&S performance evaluation / upon baseline indicators)		Not foreseen yet but to be planned
18	Budget for corrective actions		Not foreseen yet but to be planned; implemented by DPMA.
19	Total		

N.B.: Budget to be worked out with PMA.

At this stage, the budget is only indicative and can be subject to changes during project implementation. However, it is underlined that project will provide sufficient budget to always allow for the diligent implementation of CEPF/ESMF measures until the project ends. This entails also a revision in the current budget/cost sheet which is underway.

4.5. Implementation Schedule of CEPF and ESMF

The following tentative E&S implementation schedule shows the CEPF and ESMF implementation periods for main components in a yearly breakdown. For project management purpose this should be divided into a monthly schedule and disaggregated by villages when detailed planning for each landscape is made:

Table 22: E&S Implementation Schedule

No.	Year/activity	Y1	Y2	Y3	Y4	Y5	Y6	Y7
1	CEPF- ESMF development and update							
2	Village introduction							
3	Village deliberation and consent to cooperate							
4	Stakeholder assessment / SEP							
5	E&S Baseline Study							
6	Grievance Redress Mechanism (GRM)							
7	Participatory Rural Appraisal and Entry Point Activities (EPA) planning							
8	Implementation of Entry Point Activities (EPA)							
9	Environmental and Social Management of EPAs							
10	Development of Village Development Plans (VDPs)							
11	Stakeholder Consultations / participatory community engagement for VDPs							
12	Environmental and Social Management of conservation and livelihood activities / VDP priority agreements							
13	Capacity Building & Trainings		FPA	CEPF/ ESMF	CEPF/ ESMF	Moni- toring		
14	E&S Monitoring of implementation of CEPF, ESMPs / ESCOPs, GRM							

The implementation schedule needs to be further detailed (monthly or quarterly) and updated and refined by the project team based on project process.

As the project goes by the Indian financial Year system, the project will need to plan activities for 2023 by March 2023. In this plan, we will need to coordinate with our Inception phase inputs and CEPF

document should be ready by the end of 2022. This will allow sufficient time for training our project staff and also create Curriculum and deliver ToT. It is very likely that next year March/April onwards we will need to implement CEPF trainings as the first of the participatory exercises will need to be done in selected villages.

4.6. Adaptive Management

The report contains the Community Engagement Planning Framework (CEPF) and the Environmental and Social Management Framework (ESMF) including the relevant assessments of stakeholder's institutional set-up, and legal frameworks. It further presents a Grievance Mechanism (GRM) setup, organizational arrangements for implementation and E&S monitoring, capacity building measures, tentative budget and a suggested implementation schedule.

The Annex contains recommended E&S screening checklists and management tools (ESMP/ESCAP), GRM forms and templates for monitoring and reporting to be established to comply with the Environmental and Social Safeguard (ESS) requirements of KfW Guideline (2021) as well as National Legislation.

In order to be well suited to the specific situation and planned project activities, the CEPF and ESMF will have to be updated/adapted within the course of further detailed project planning and Implementation. The project team will provide specific trainings for implementation and supervision.

By the end of 2023, sufficient learning should be there to get inputs that can be used to update CEPF / ESMF etc. However, the updates actually should be completed by early 2024 only as finally we have three years left after that as last year is more of exit strategy year and final consolidation year.

The safeguard documents, both for Community Engagement and Environmental and Social impact mitigation are developed to allow project management to easily integrate environmental and social issues into project implementation and ensure a good performance of the project.

5. References / Bibliography

Unique / GFA (2019): Process Framework for the Project 'Climate Resilience of Forest Ecosystems, Biodiversity Adaptive Capacities of Forest Dependent Communities in Tripura'

Unique / GFA (2019): Environmental and Social Management Framework (ESMF) for the Project 'Climate Resilience of Forest Ecosystems, Biodiversity Adaptive Capacities of Forest Dependent Communities in Tripura'.

Unique/GFA (2018). Feasibility Study for the Project: Climate Resilient Forest Landscapes in Tripura. (Full title: Climate Resilience of Forest Ecosystems, Biodiversity & Adaptive Capacities of Forest Dependent Communities).

Key project documents of IGDC Phase I

Field data provided by respective DPMAs.

Field Assessments by IC in 2022

Field assessment learning during VDP preparation

6. Annexes

Annex 1: List of Stakeholder Engagement Activities Conducted so far

Place	Target Stakeholders	Description	Timing
Dhalai District			
Paschim Nalicherra	Community	Interaction with community representatives, both men and women.	8 Aug 2022
Balaram	JFMC & Community	Visit to plantation site with JFMC members; interaction with community members.	8 Aug 2022
Mendi	Community	Interaction with community members / representatives, both men and women.	8 Aug 2022
Shyamraicherra	JFMC & Community	Visit to plantation site with JFMC members; interaction with community members.	9 Aug 2022
Lalcherra	JFMC & Community	Visit to plantation site with JFMC members; interaction with community members.	10 Aug 2022
Manikpur	Community	Interaction with community members / representatives, both men and women.	10 Aug 2022
North Tripura District			
Uttamjoypara	Community	Interaction with community members / representatives, both men and women.	11 Aug 2022
Thumsaraipara	JFMC & Community	Visit to plantation site with JFMC members; interaction with community members.	11 Aug 2022
Gachirampara	Community	Interaction with community members / representatives, both men and women.	12 Aug 2022
Dasamanipara	Community	Interaction with community members / representatives, both men and women.	12 Aug 2022
South Tuisama	Community	Interaction with community members / representatives, both men and women.	12 Aug 2022

Annex 2: Photo Documentation

Photo documentation etc. (as applicable to document how Communities incl. women and vulnerable groups were informed, consulted and involved in project decision making).



Photo 1. ANR Miscellaneous plantation (5.0 ha) visit at Chandramanipara under Balaram on 8 Aug 2022



Photo 2. Interaction with community members at Shyamraicherra VC on 9 Aug 2022



Photo 3. ANR Miscellaneous Plantation (2.5 ha) (visit at Shyamraicherra on 9 Aug 2022



Photo 4. Interaction with community members at Lalcherra VC on 10 Aug 2022



Photo 5. Energy Plantation (10.0 ha) with Jhum crops at Thumsarai visited on 11 Aug 2022



Photo 6. Community interaction at South Tuisama Community Hall on 12 Aug 2022



Photo 7. Interaction with communities at Thumsarai para after the field visit on 11 Aug 2022



Photo 8. With DFO North Tripura at Kuthumraipara overlooking Mizoram Hills at the background on 11 Aug 2022

Remark: The documentation of consent could potentially be done by photo documentation of meetings where facilitators show poster/whiteboard with the issue to be agreed upon and participants raising hands. This can help to avoid participants having to sign agreements repeatedly, which may be tricky especially in the early stages of the project

Annex 3: Sample Village Profile

For the phase 2 villages visited in August 2022, the following village profiles were established. The data for phase 1 villages are still not available. The process to get the data was started and is still ongoing.

Village name	No of para	Date of visit	Population Number (persons/HH)	Mixed /homo-genous	% ST / IP	Land ownership (% of categories)	Land use practice (Jhum / not Jhum) / size of Jhum area	Forest use issues / CCA?	Comment / phase 1 activity
Paschim Nalicherra, Ambassa Block, Dhalai	07	8.8.2022	516 HH	Mixed ST groups	100% ST	29% HH having Jote land; 51% FRA patta land; 39% HH still doing jhum cultivation.	Average jhum size 1.2 acre; FRA patta land 1.5 acre.	No CCA; forest provides NTFPs – firewood, wild vegetables, house construction materials.	Phase I village
Balaram, Ambassa Block, Dhalai	09	8.8.2022	56 HH (only of Kumardhan para)	Mixed ST groups	100% ST	100% of HH still doing jhum; 82% of HH received the jotepatta land.	Av jhum size 1.2 acre; av. Patta land size 1.5 acre.	No CCA	Phase I village
Mendi, Selema Block, Dhalai	09	8.8.2022	764 HH	Mixed	98% ST	13% HH having Jote land; 14.0% HH having FRA patta land; 73% occupying forestland (of which, 7-8% jhum cultivation; some had applied for FRA patta land but no result yet}	Average jhum size 1.5 acre; average FRA patta land 2.0 acre.	No CCA	Phase I village
Shyamraicherra, Durga Chowmuhani	12	9.8.2022	459 HH	Mixed	100% ST	30-40% HH doing jhum;	Av jhum size 1.2 acre; avg.	No CCA	New village

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Village name	No of para	Date of visit	Population Number (persons/HH)	Mixed /homo-genous	% ST / IP	Land ownership (% of categories)	Land use practice (Jhum / not Jhum) / size of Jhum area	Forest use issues / CCA?	Comment / phase 1 activity
Block, Dhalai						58% HH having FRA patta land;	FRA patta land 1.5 acre		
Lalcherra, Gumti Block, Dhalai	06	10.8.2022	742 HH	Mixed	100% ST	25% HH doing jhum; 20% HH having FRA patta land; all others occupying forestland as 'dakhali' (occupier)	Av jhum size 1.2 acre; avg. FRA patta land 1.5 acre.	No CCA	Phase I village
Manikpur, Manu Block, Dhalai	10	10.8.2022	933 HH	Mixed	95% ST	90% HH doing jhum; 65% HH have FRA patta land but majority of them are yet to have demarcated land.	Av jhum size 1.0 acre; avg. FRA patta land 1.5 acre.	No CCA	Phase I village
Uttamjoypara, Damcherra Block, North Tripura	06	11.8.2022	400 HH	Mixed	95% ST	90% HH doing jhum; 75% HH having FRA patta land.	Av jhum 1.2 acre; avg. FRA patta land 3.0 acre,	No CCA	New
Thumsaraipara, Damsherra Block, North Tripura	06	11.8.2022	490 HH	Mixed	100% ST	Over 90% HH doing jhum; over 60% HH have FRA patta land.	Av jhum 1.0 acre; avg. FRA patta land 1.75 acre	No CCA	Phase I village
Gachirampara, DasdaBolci, North Tripura	09	12.8.2022	772 HH	Mixed	95% ST	26% HH having jote land; 46% having FRA patta land; over	Av jote land 3 acre; avg. jhum size 1.2 acre; avg. v	No CCA	New

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Village name	No of para	Date of visit	Population Number (persons/HH)	Mixed /homo-genous	% ST / IP	Land ownership (% of categories)	Land use practice (Jhum / not Jhum) / size of Jhum area	Forest use issues / CCA?	Comment / phase 1 activity
						50% HH doing jhum.	FRA patta land 2.5 acre		
Dasamanipara, DasdaBolci, North Tripura	11	12.8.2022	562 HH	Mixed	100% ST	70% doing jhum	1 acre jhum land, patta land there, no wet land cultivation as hill location	No CCA	Phase I village
South Tuisama, DasdaBolci, North Tripura	7	12.8.2022		Mixed	95% ST	Mix of jhum, patta and jote. Valley location.	Average between 2-3 acrejote land, 1-1.2 acre jhum land	No CCA	Phase I village

Note: Most Villages (VC) have Mixed Tribal communities, but many Paras within the villages have homogenous tribes or a single tribal community.

Annex 4: Sample Village Development Plan (template)

Add table of activities, budget, timing etc. as a template or an example VDP (to be added when a VDP would be done)

Annex 5: Summaries of relevant Legal Texts

FPIC embedded in the Constitution of India

The Administration of the Scheduled Areas and Scheduled Tribes in States according to the provisions of Fifth and Sixth Schedules apply to the tribal areas. The objective of the Schedule area and the Regulations made thereunder is to preserve tribal autonomy, their cultures and economic empowerment to ensure social, economic and political justice for the preservation of peace and good Governance in the Scheduled Area. The project includes many Sixth Schedule areas. The Sixth Schedule recognises the rights of the tribal populations in their areas, and provide protection to them thought restrictions on lands and resource use without the consent of the local Authorities or Councils.

Panchayats (Extension to Scheduled Areas) Act, 1996 or PESA

It is a law enacted by the Government of India to cover the “Scheduled areas”, which are not covered in the 73rd amendment or Panchayati Raj Act of the Indian Constitution. It was enacted on 24 December 1996 to enable Gram Sabhas to self-govern their natural resources. It is an Act to provide for the extension of the provisions of Part IX of the Constitution relating to the Panchayats to the Scheduled Areas in fifth Scheduled Areas. (PESA is however not relevant in CREFLAT)

The Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006 (FRA)

The Act aims to reverse the alienation of tribes from their own habitat caused by past policies and laws. It stated that no tribal person is to be evicted from currently occupied land until the process of determining rights is completed. It also recognises the rights to forest and forest produce by tribes traditionally dependent upon this resource. Gram Sabha is the decision taking institution and participation of communities is ensured in every process.

The Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013

This Act is to guarantee, in consultation with institutions of local self-government and Gram Sabhas, a humane, participative, informed and transparent process for land acquisition. That public hearings at the affected area are giving proper information is to be ensured.

The Environment (Protection) Act, 1986

Environment Legislations prohibit and restrict the location of industries; carrying out of processes and operations in different areas and Environment Impact Assessment (EIA) Notification - ensures access to information, public participation and access to justice. Public hearing process for affected people in the environmental impacts of the project or activity is ascertained. It gives power to national and state governments to develop appropriate regulations to protect the environment, and to identify standards for environmental management. A number of other regulations, such as for the protection of wetlands, get their power from this Act. Any notifications or rules from the National Green Tribunal may also get its power from the Act.

The Biological Diversity Act, 2002

This legislation is to provide for conservation of biological diversity, sustainable use of its components and fair and equitable sharing of the benefits arising out of the use of biological resources, knowledge with proper consultation process and with prior consent from communities.

The Indian Wildlife (Protection) Act, (1972)

This Act is for protection of the country's wildlife, including national parks and sanctuaries. It supports restrictions on the removals of plants from protected areas that also include restrictions by communities living in or adjacent to the protected area. Given the challenges faced by communities living in these areas, eco-development committees have developed for such areas. These have fewer opportunities for sharing of forest products than JFMC but may be able to benefit more from other non-forest activities including eco-tourism.

The Forest (Conservation Act), (1980)

This Act supports the country's efforts to address issues of forest management and its protection. The Act supports the government control forests under its jurisdiction, and restricts the use of forestland for non-forestry purposes. In 1988, additional provisions were added to the Act to prohibit the clear felling of natural forests without permission from the central government and to limit the leasing of forestland to individuals, communities or corporations.

Forest working plans are to be approved by the regional centre of the MoEFCC. These working plans are prepared for a period of 10 years. Therefore, unless provisions have already been made to consider provisions for JFM activities, there can be conflicts during implementation of activities under the JFM and the working plans. In Tripura, the most recent working plans have now included provision for a JFM working circle. This ensures that the provisions of the micro-plan for approved JFM areas can be implemented without contravening the approved working plan and without seeking additional sanction from MoEFCC once the working plan has been approved.

The Unorganised Workers' Social Security Act, 2008

Based upon this regulation, there are to be a number of welfare schemes for workers. All unorganised workers, as defined in this regulation, are eligible to register to the competent authority and avail benefits. However, any registered worker also needs to contribute, as defined by the regulation.

Tripura Occupational Safety, Health and Working Condition Rules, 2022 (draft rules)

This shall be applicable, once the rules have been notified. However, as there already exists the national regulation notified in 2020, it will need to be followed presently. Once this regulation is enacted; it shall be applicable.

Tripura Payment of Wages (Procedure) Rules, 1960

This can be used in case of dispute of wages in order to settle disputes, by the wage claimant, and it identifies the procedure and forms to record the complaint.

The Tripura Minimum Wages Rules, 1952

This regulation identifies procedure to identify wage payment, hours of work and holidays. It also identifies records to be kept and other documentation required.

The Tripura Unorganized Workers' Social Security Rules, 2010

In case there is any hiring of unorganised labour under the project, this regulation shall apply. It identifies how the labour is to be registered for social security.

Annex 6: Records of Village Meetings and List of Participants (FPIC documentation)

1. Basic information

District		Block	
Name of Panchayat			
Name of villages/paras			
Meeting Date		Venue	Time
Key purpose of the Meeting			

2 (a).List of persons present in the meeting (add columns as required; note that there will also be attendance sheet and therefore only names of prominent community leaders should be mentioned)

	Names & position in the Project or Panchayat or Village
(a) CREFLAT Team	1.
	2.
	3.
(b) Panchayat / Community Leaders	1.
	2.
	3.

2 (b). List of any prominent community leader/s absent (if any):

--

3. Key issues discussed and decisions made to give consent (add rows as required)

(a) Key issues discussed	1. 2. 3.
(b) Decisions on list of options to give consent	1. 2. 3.

4. Concerns raised, responses given and additional information needed (add rows as required):

(a) List or areas of concerns raised	
(b) Responses provided	
(c) List of additional information required	

5. Any other comments and observations:

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Signature (of person who prepared the Report)	
Name & Designation	
Date	

1. Attendance sheet
2. Photographs (with captions & date of photograph)

District		Block	
Name of Panchayat			
Name of villages/ Paras			
Meeting Date		Venue	Time
Key topic / purpose of Meeting			

[illegible]

Total participants		Male		Female	
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Total population of GP	
------------------------	--

Signature of GP Pradhan / VC Chairman	
Name (in capital)	
Date	

Countersigned by:

Signature (of person who prepared the Report)	
Name & Designation	
Date	

Annex 7: Community Consent Form for implementation of VDP activities (FPIC Agreement of VDP before implementation) (to be translated in local languages)

The following form is used to document consent of communities with the VDP activities selected for implementation by the project. The document needs to mention the planned activities in detail and needs to be signed by representatives of the village authorities as well as by the directly affected PAPs (if any). The document needs to be available in the appropriate local language spoken by PAPs.

Name of the GP/ VC	
Name of villages/paras of the GP / VC	
Block	
District	
Date	

This document is to verify that the residents of _____
(name of the GP/VC) consisting of the hamlets/ paras:

- (1) _____
- (2) _____
- (3) _____
- (4) _____
- (5) _____
- (6) _____
- (7) _____
- (8) _____

Under the Block _____ in the _____
District

Have given our consent to undertake the following activities implemented under the CREFLAT Project.

1. _____
2. _____
3. _____
4. _____

We declare having been informed of all potential environmental and social impacts and appropriate mitigation measures of the abovementioned activities detailed in the Village Development Plan (VDP).

The following signatures acknowledge the decision of the people regarding consent.

Authorised 1st Signature

Signature of Pradhan GP / Chairman of VC	
Name (in capital)	
Date	
District	
Seal	

Authorised 2nd Signature

Signature of Secretary of GP/ VC	
Name (in capital)	
Date	
District	
Seal	

Counter Signature by Representative of District Forest Office:

Signature	
Name & Designation (in capital)	
Date	
District	
Seal	

Annex 8: Assessment of affectedness through Project Activities from Process Framework (Feasibility Study)

Social Benefits, Risks, Impacts, and Mitigation Measures			
Project Intervention	Potential Project Activity Outputs with Social Benefits	Potential Impact/Risk	Proposed Mitigation Measures
Output 1: Development and implementation of a participatory village-based Land-scape Planning System and Output 5: Forest sector strengthening activities	<ul style="list-style-type: none"> Stakeholder Awareness Workshop covering project VP development capacity-building including social mapping, climate change and its impact, water security planning and management, land conservation and management planning, forest management planning, biodiversity, project governance and conflict resolution, soil productivity enhancement, fire protection, disaster risk management, and account book maintenance Project governance and conflict resolution Environmental and social project safeguards Soft skills and Leadership Development Program for youth and women Community ownership and collective action, Motivation for achieving goals Development of civic sense in youth Strengthening of governmental entities including enhanced gender balance 	<ul style="list-style-type: none"> Lack of interest due to inaccurate project information and community distrust of the government Lack of information Unrealistic expectations, Exclusion of certain stakeholder groups in the village structures and consultation processes, Consultation fatigue Elite capture or discrimination of certain stakeholder groups Redundant training Unutilized training 	<ul style="list-style-type: none"> Periodic monitoring and stakeholder interaction through meetings, training, and capacity building at quarterly or half-yearly intervals to build community trust. Periodic refresher training
Output 2: Implementation of a climate-resilient Forest Land Management Programme	<ul style="list-style-type: none"> All project investments will improve community livelihood and include the broad acceptance of VDPIC Hazard Assessment on resources and livelihood sectors Soil health improvement and productivity enhancement measures Rehabilitation and reclamation of degraded landscapes to set up pollination habitat and secure local species 	<ul style="list-style-type: none"> Restricted areas may limit field access A limited number of graves, village cemeteries, and/or communal properties in spiritual forests may be located within the PA 	<ul style="list-style-type: none"> Identification of vulnerable water sheds around <i>jhum</i> areas Participation must include all levels of stakeholders irrespective of socio-economic profile Ensure VP development participation of all community members in order to limit restriction impacts Provisions for physical cultural resources screening during sub-project investments and

Social Benefits, Risks, Impacts, and Mitigation Measures			
Project Intervention	Potential Project Activity Outputs with Social Benefits	Potential Impact/Risk	Proposed Mitigation Measures
			sites' location as well as "chance find procedures"
<p>Output 3: Measures applied to mitigate adverse biodiversity climate impacts</p> <p>And</p> <p>Output 4: Natural resources products processing and marketing supported</p>	<ul style="list-style-type: none"> The demarcation of new, or the expansion and enforcement of existing biodiversity corridors, forest rehabilitation areas, and insect fields may restrict access to land, natural resources, and services All project investments will improve community livelihood and include broad VDPI acceptance Pollination hubs will increase the overall area fertility Village planning with assistance from District-level project-facilitating teams and technical experts and Village-level facilitators (also called E&S focal point) will help define areas with more positive than negative impacts, especially on livelihoods Convergence with other livelihood and income-generation activities and enterprises financed through banks and State and Central-sponsored plans – (e.g., apiculture, sericulture, rubber plantation) Creation of pilot projects such as Biodiversity Villages 	<ul style="list-style-type: none"> The project may require minor land acquisition for the implementation of some community livelihood activities or infra-structured developments Land and key national resources access restrictions PAPs not engaged in such a way that their concerns and potential livelihood impacts are understood If communities are not adequately engaged: communally-held land could be vulnerable to land grabs and other property rights losses; restrictions could be perceived as imposed due to differing values regarding what needs to be 'protected' or conserved; alternative livelihood activities may not be adequate for restoring (economically displaced) income streams or developing environmentally and socially sustainable livelihoods Social tensions, disputes, and conflict over access restrictions (including water and land) Ineffective conservation and livelihood efforts VP-defined measures not adequate to compensate economic displacement VP measures and other livelihood 	<ul style="list-style-type: none"> Provide detailed procedural and distributional justice guidance to relevant implementing agencies via the PF Negative livelihood impacts resulting from access restrictions and land acquisition will be determined during VP development and compensated by specific LRPs LRPs will be designed and implemented to improve, or at least to fully restore, income streams of those affected by changes in access or resource use. Priority will be given to enhancing efficiency and productivity of existing livelihood activities. Promotion of adequate and efficient compensation measures and TA for livelihood improvement Convergence with other schemes for livelihood and income-generation activities Ensure proper and uniform compensation and

Social Benefits, Risks, Impacts, and Mitigation Measures			
Project Intervention	Potential Project Activity Outputs with Social Benefits	Potential Impact/Risk	Proposed Mitigation Measures
		<p>ideas and innovation may not suit community sentiments</p> <ul style="list-style-type: none"> Restricted area access, such as for pollination hub, may result in lengthy de- tours for PAPs, including loss of income for traditional healers as they cannot access medicinal plants Livelihoods may be impacted by the loss of agro-biodiversity due to cropping pattern changes and the introduction of exotic germplasm Encroachment on sacred groves or degradation of sacred waterbodies Lack of technical expertise involvement on selecting the PA or pilot villages Altered land tenure system 	<p>disclosure guidelines</p> <ul style="list-style-type: none"> Ensure cultural site access Participation must include all levels of stakeholders irrespective of socio-economic profile Ensure VP development participation of all community members in order to limit restriction impacts

North Tripura and Dhalai Stakeholder Impacts				
Stakeholder	Socio-economic Characteristics	Potential Positive and Negative Impacts	Impacted Assets/Ownership	Proposed Recommendations and Mitigation Measures
ST Community	<ul style="list-style-type: none"> 32% of Tripura population belong to ST. ST population in North Tripura and Dhalai, especially in rural areas, is 80-90%. Employment: Most ST community members work in agriculture. Worker distribution among STs: 	<p>Positive Impacts:</p> <ul style="list-style-type: none"> ST community members improve their skills developing Village Plans and defining goals and actions Strengthened ST community morale by creating a community- 	<ul style="list-style-type: none"> Reduced access to khasland 	<ul style="list-style-type: none"> Training material will be developed, and ST community members will be regularly trained in assessing their own and other stakeholder needs during Village Plan development and any necessary LRPs so

North Tripura and Dhalai Stakeholder Impacts				
Stakeholder	Socio-economic Characteristics	Potential Positive and Negative Impacts	Impacted Assets/Ownership	Proposed Recommendations and Mitigation Measures
	<p>40% cultivators; 29% agricultural labourers; 1% household industry; and 30% other sectors.</p> <ul style="list-style-type: none"> • Poverty: The Human Development Report II (2018) lists the average Tripura per capita income at 1.56 USD (109 rupees) per day, which is the 15th out of 29 Indian states. Dhalai and North Tripura have a higher proportion of Below Poverty Line (BPL) households. Public Distribution System (PDS) facilitates food grains and essential commodities distribution to poor people at a subsidized price on a recurring basis through a network of Fair Price Shops. The PDS coverage includes the socially vulnerable groups in the state, especially ST households, in comparatively large proportions. • Khas Land Redistribution: Khas land are small lots distributed to the landless and marginal tribal peasants. Share of various social gr 	<p>driven plan</p> <ul style="list-style-type: none"> • Joint projects will improve collaboration with neighbouring communities, reduce rivalry, and enhance knowledge transfer • ST income increases due to better biodiversity and overall fertility, pollination, and yields • ST income increases due to increased fish population <p>Negative Impacts:</p> <ul style="list-style-type: none"> • ST community members suffer the loss of agricultural fields, pasture land, and full pond usage due to biodiversity activities; access restrictions may affect livelihoods • Compensation provided to ST community members does not comprehensively address losses • ST community not properly involved properly to convey their concerns and accurately comprehend livelihood impacts • VP measures do not adequately compensate 		<p>concerns of all community members are addressed properly and thoroughly.</p> <ul style="list-style-type: none"> • Technical support will be offered during community meetings to help the VDPIC understand all their rights (such as the option to hire a consultant due to additional Stakeholder Needs Assessments) and responsibilities and how to address them properly. • Members at block-level meetings will be trained to identify, address, and discuss transboundary issues when different VDPIC are presented. • Promotion of adequate and efficient compensation measures and TA for livelihood improvement. • Convergence with other programmes for livelihood and income-generating activities. • Ensured proper and uniform compensation and disclosure guide-lines. • Ensured cultural site access

North Tripura and Dhalai Stakeholder Impacts				
Stakeholder	Socio-economic Characteristics	Potential Positive and Negative Impacts	Impacted Assets/Ownership	Proposed Recommendations and Mitigation Measures
	<p>roups in allotted government khas land in Tripurashowthatofalmost20 0,000 beneficiaries, 41% were ST, which received 61% of the distributed area.</p>	<p>economic displacement.</p> <ul style="list-style-type: none"> VP measures and other liveideasand innovation may not align with community sentiments 		
SC Minority	<ul style="list-style-type: none"> SC Minority in rural area approximately10-20% Socio-economic SC data for rural Dhalai and North Tripura unavailable 	<p>Positive Impacts:</p> <ul style="list-style-type: none"> Strengthen community morale by involving all groups <p>Negative Impacts:</p> <ul style="list-style-type: none"> SCMembersnotadequately epresented in theVDPIC Compensation measures fail toad- dress SC minorityloss Conflicts between SC /ST and among SC groupsarise SC community not properly involvedproperlytoconveyth eirconcerns and accuratelycomprehendliveli hood impacts 	No dataavailable	<ul style="list-style-type: none"> EnsureadequateSCminorit yrepresentation in VDPICmeetings Assist SC minority in understanding and discussing activity impacts.
Women, Elderly, Disabled Youth,	<ul style="list-style-type: none"> Dhalai population in 2011 census was 378,230: 194,544 male and 183,686 females. North Tripura's population was 693,947, comprised of 352,860 males and 341,087 females. Themajority– 89%ofDhalai residents and 83% of North Tripura 	<p>Positive Impacts:</p> <ul style="list-style-type: none"> Women, youth, elderly, and the dis- abled are actively involved Village Plan development, increasing the overall participation and defining their own goals and actions. VDPIC-developed compensation measures 	<ul style="list-style-type: none"> Restricted fieldaccess Altered land 	<ul style="list-style-type: none"> Adjusted VDPIC statutory rights emphasizing the roles of women, youth, elderly, and thedisabled VDPIC members will be regularly trained in creating functional sub-committees and voicing their concerns. Technical support will be

North Tripura and Dhalai Stakeholder Impacts				
Stakeholder	Socio-economic Characteristics	Potential Positive and Negative Impacts	Impacted Assets/Ownership	Proposed Recommendations and Mitigation Measures
	<p>residents – resided in rural areas.</p> <ul style="list-style-type: none"> • Unemployment: In rural areas, more women (62%) than men (15%) were unemployed. • Information on Youth and Elderly was unavailable and needs to be assessed during SEP baseline preparation. 	<p>include those benefitting women, youth, elderly, and the disabled.</p> <ul style="list-style-type: none"> • Compensation measure best practices specific to women, youth, elderly, and the disabled are developed and shared among the community. • Strengthened VDPIC representation of marginalized groups ensures the implementation of activities increasing the incomes of women, youth, elderly, and the disabled. • Negative Impacts: • Committees of youth, women, elderly do not function adequately and do not take into account their concerns • Compensation measures that are developed by the VDPIC do not benefit women, youth, elderly and disabled as well. • Access to fields or the reach of other destination may be restricted or 		<p>offered during community meetings to help the VDPIC understand all their responsibilities and how to properly address them.</p> <ul style="list-style-type: none"> • Members at block-level meetings will be trained to identify, address, and discuss issues related to women, youth, the disabled, and the elderly. • Participation will include all stakeholders without consideration of socio-economic profiles. • Proper VP development participation is ensured, enabling full understanding of access restriction impacts. • Adequate and efficient compensation measures and TA for livelihood improvement, especially for women, elderly, youth and the disabled. • Convergence with other programmes for livelihood and income-generating activities • Proper and uniform compensation and

North Tripura and Dhalai Stakeholder Impacts				
Stakeholder	Socio-economic Characteristics	Potential Positive and Negative Impacts	Impacted Assets/Ownership	Proposed Recommendations and Mitigation Measures
		<p>extended through setting up restricted areas and cause a bigger burden on women, elderly, etc.</p> <ul style="list-style-type: none"> Land tenure system may be altered, and disadvantaged women, elderly, youth, and disabled people do not have their legitimate interests recognised. 		<p>disclosure guidelines.</p> <ul style="list-style-type: none"> Ensured cultural site access.
Fish Farmers	<ul style="list-style-type: none"> 21% of all fish farmers derive their livelihood exclusively from fish farming. 28% have two income sources and 26% have three income sources. 92% of ponds are perennial. Most common fish species are Rohu (<i>Labeo rohita</i>), Catla (<i>Catla catla</i>), Mrigal (<i>Cirrhinus mrigala</i>) and Common Carp (<i>Cyprinus carpio</i>). yield per year is between 1283 kg and 1738kg 	<p>Positive Impacts:</p> <ul style="list-style-type: none"> Improved water quality in fish ponds Increased fish diversity and eventual yield increase Strengthened ponds structures with reduced overflows. <p>Negative Impacts:</p> <ul style="list-style-type: none"> Temporary or permanent restricted pond use causing economic stress on fish farmers Compensation provided to fish farmers does not comprehensively address their losses. Fish farmers not properly involved properly to convey their concerns and accurately comprehend livelihood 	<ul style="list-style-type: none"> Tripura ponds range from 0,4 to 0,8 ha and over 80% are privately-owned Dhalai ponds range from 0,002 to 0,1ha 	<ul style="list-style-type: none"> Ensured VDPIC meeting participation of affected fish farmers. Assistance offered to help fish farmers understand and discuss activity impacts. Adequate and efficient compensation measures and TA for livelihood improvement. Convergence with other programmes for livelihood and income-generation activities.

North Tripura and Dhalai Stakeholder Impacts				
Stakeholder	Socio-economic Characteristics	Potential Positive and Negative Impacts	Impacted Assets/Ownership	Proposed Recommendations and Mitigation Measures
		impacts and adequacy of compensation measures.		
Farmers (Crop)	<ul style="list-style-type: none"> 89% of Dhalai's population occupies rural areas. Paddy is Dhalai's main farming component, as rice is a staple food for Tripureans. The farmers follow a lowland unique paddy cultivation system using 'lunga' land, a lowland condition surrounded by 'tilla' lands (hillocks). The local paddy varieties viz. pyzum, kalikhasha, and binni are grown because of their peculiar taste and suitability to local conditions. Rice covers only 7% of cultivated area, the lowest in Tripura. 	<p>Positive Impacts:</p> <ul style="list-style-type: none"> Improved soil quality Increased yields New agricultural techniques will adapt to climate changes and reduce vulnerability. <p>Negative Impacts:</p> <ul style="list-style-type: none"> Temporary or permanent restricted access to cultivated areas will cause economic stress on farmers Farmers not properly involved to convey their concerns and accurately comprehend livelihood impacts and adequacy of compensation measures. 	<ul style="list-style-type: none"> Average Dhalai paddy field size varies between 0.005 and 0.32 ha and are mostly privately owned. Some paddy farmers rent or use community areas 	<ul style="list-style-type: none"> Ensure VDPIC meeting participation of affected farmers. Assistance offered to help farmers understand and discuss activity impacts. Adequate and efficient compensation measures and TA for livelihood improvement. Convergence with other programmes for livelihood and income-generation activities.
Traditional Healers	<ul style="list-style-type: none"> Lack of available information on traditional healers; needs to be collected at the beginning of the project Traditional Medicine is commonly used in Tripura Various parts of 58 plant species are used for preparing medicine: leaves (48.3%), root (29.3%), stem (3.5%), bark (10.3%), whole plant (1.7%), seeds/fruits (8.6%). Most medicines are 	<p>Positive Impacts:</p> <ul style="list-style-type: none"> Biodiversity increase should also increase medicinal plant species availability. <p>Negative Impacts:</p> <ul style="list-style-type: none"> Temporary or permanent restricted access to medicinal plant collection areas will cause economic stress on traditional healers 	No data available	<ul style="list-style-type: none"> Traditional Healers included in Stakeholder Assessment Ensured VDPIC meeting participation of affected Traditional Healers. Assistance offered to help Traditional Healers understand and discuss activity impacts. Adequate and efficient compensation measures and TA for

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North Tripura and Dhalai Stakeholder Impacts				
Stakeholder	Socio-economic Characteristics	Potential Positive and Negative Impacts	Impacted Assets/Ownership	Proposed Recommendations and Mitigation Measures
	pre- pared as pastes or crude extracts.	<ul style="list-style-type: none"> • Reduction in traditional medicine can increase treatment costs for community members who would have to travel to medical care. • Traditional Healers not properly involved to convey their concerns and accurately comprehend livelihood impacts and adequacy of compensation measures. 		<ul style="list-style-type: none"> • livelihood improvement. • Convergence with other programmes for livelihood and income-generation activities.

Source: Feasibility Study (2018)

Annex 9: ES Management Tool: Screening Checklist for activities

The following activity- and site-specific E&S screening checklist can be used during activity development and selection to make sure not to overlook important aspects that may generate negative impacts for people or environment.

Impact Cat.	Impact/Risk Screening Questions	Risk description / Assessment	Mitigation action * Practical measure to address risk.	Justification Does the mitigation action meaningfully and feasibly address the risk? Please justify
Name of Village		Brief description of the activity:		
P	Physical Impacts			
P1	Soil stabilization needed?			
P2	Pollution? Water Quality?			
P3	Air Quality?			
P4	Noise creation?			
P5	Waste generation? Management?			
B	Biodiversity Impacts			
B1	Ecologically suitable site?			
B2	Avoiding harm to biodiversity? Preserving habitats?			
B3	Fauna Habitats?			
B4	Monocultures?			
B5	Invasive species?			
B6	Pest management?			
B7	Protected area?			
B8	Ecosystem Services / improvement of habitats?			
S	Social Impacts			
S1	Land acquisition / resettlement?			
S2	Access to resources/ Avoiding livelihood harm?			
S2	Vulnerability?			
S2	Tenure security?			
S2	Conflict free?			
S2	Overlapping claims?			
S2	Mapping inconsistencies? Village boundaries clarified?			
S3	Equity and Gender assessment?			
S4	Financial impacts / Risk of indebtedness?			
S4	Commercial viability? Market access?			
S5	Income generation / Employment?			
S6	Labour and Working Rights?			
S7	Influx of outsiders?			
S8	Indigenous Peoples?			
H&S	Health and Safety			
HS1	Community H&S Pollution, Diseases?			
HS2	Occupational H&S (Work Accidents, protection of work sites)?			
HS3	Occupational and Community H&S (HWC / HEC, Snake bite risks)?			
CH	Cultural Heritage Impacts			
CH 1	Cultural Heritage destruction? Access restriction? Alteration?			
CH2	Immaterial Cultural Heritage /			

Impact Cat.	Impact/Risk Screening Questions	Risk description / Assessment	Mitigation action * Practical measure to address risk.	Justification Does the mitigation action meaningfully and feasibly address the risk? Please justify
	Indigenous Knowledge →biopiracy risk?			
CC	Climate Change Impacts			
CC1	CO2 / other emissions?			
CC2	Climate vulnerability / resilience?			
CC3	Forest Fire risks? Jhum cycle?			
PC/SE	Public Consultations / Stakeholder Engagement			
PC / SEP	Informed Consent? Public Consultations?			
PC / SEP	People informed about obligations and benefits?			
PC / SEP	No opposition? Democratic decision-making?			
PC / SEP	Informed about required area? Measures in area?			
PC / SEP	Informed about requirement of contributions?			
PC / SEP	Village Group formation?VC / JFMC / BMC active? Youth group involved?			
PC / SEP	Women involvement? SHGs?			
PC / SEP	Eligibility list / Beneficiary list checked?			
PC/ SEP	Mechanisms to contact excluded persons?			
GRM	Grievance Redress Mechanism (operational?)			
GRM	Potential Beneficiaries / stakeholder complaints?			
GRM	Stakeholders Informed about GRM? Possibility to raise complaints?			
GRM	Regular enquiry with VCs if there have been complaints?			
GRM	Registration of complaints in logbook done?			
GRM	Local Community Conflict solving procedure used?			
GRM	Follow-up? Complaint resolution?			
GRM	Resolution documented?			

The checklist can be applied for activities of Village Development-Plans and should be completed during VDP development and included in community agreements on implementation of priority actions, especially if specific measures to reduce impacts are needed. It should also be applied for planting activities.

Annex 10: ES Management-Tool: Application Checklist of ESCOP and Standard ESCOP

The Environmental and Social Codes of Practice (ESCOP) for the Project are developed for the activities that fall under low-risk Category C projects. Despite low risk of severe environmental and social impacts, there still will be impacts to be avoided in planning or mitigated during implementation. This could relate to avoidance of pollution by waste management or avoiding of accidents through Health and Safety measures. The ESCOPs provide a checklist for potential impacts as a guidance document and Do's and Don'ts for specific activities. These will need to be assessed, filled and specific provisions made accordingly. A Checklist for potential impacts and a standard ESCOP table are presented below:

Application of Environmental and Social Code of Practice (ESCOP)							
Standard Code of Practice has been shared with the community on (insert date)							
Additional Codes of Practice applicable to the activity (see Annex)				Small construction of community infrastructure <input type="checkbox"/>		Nursery/Plantation/Horticulture/Agriculture <input type="checkbox"/>	
				Check-dams / Water Harvesting Infrastructure <input type="checkbox"/>		NTFP processing and marketing <input type="checkbox"/>	
				Aquaculture <input type="checkbox"/>		Other (describe): <input type="checkbox"/>	
Person responsible for overseeing implementation of applicable Mitigation Measures defined in Codes of Practice (insert name and contact)							
Environmental Health and Safety (fill in if any work is undertaken to implement the activity)							
Number of village members who will work on activity							
Has consent of village members been obtained for contribution of work? (describe documentation of consent)							
Type of work that will be carried out by village members? (e.g., digging, drilling, cementing or other – list details)							
Other work requirements? (list of work carried out by community members, individual specialists (e.g. electricity, plumbing, masonry, water installation), CBOs, or others)							
Who is assigned to ensure safety during works?							
Describe when training in safety will be conducted and by whom?							
Personal protection equipment and tools that must be purchased to carry works out safely:							
Type:	First aid kit	boots	hard hats	gloves	dust masks	goggles	Other: _____
Number:							
Budget for personal protective equipment							

(include in activity costing)	
Change in land use (fill in if the activity requires any restrictions or change in current land use)	
Describe land contributions required for activity (if applicable)	
Describe existing uses and use restrictions to land required for activity	
Describe process to obtain community consent for contributions or restrictions	

Standard ESCOP

Topic	DO	DON'T
Soil protection	<ul style="list-style-type: none"> Prevent soil erosion through soil protection measures, slope stabilization and provision of proper drainage Leave roots of cut trees in the soil Use mulch, grasses, or compacted soil to stabilize exposed areas Cover with topsoil and re-vegetate (plant grass, fast-growing plants/bushes/trees) any exposed areas once work is completed 	<ul style="list-style-type: none"> Do not implement activities without careful design for soil protection Avoid cutting of slopes as this will increase erosion risks Do not leave soil barren, especially in slope areas
Water	<ul style="list-style-type: none"> Drinking water sources, whether public or private, should at all times be protected from wastewater effluents, oil and hazardous materials and wastes Activities should not compromise the availability of water, including the availability of water for drinking and hygienic purposes The flow of natural waters should not be obstructed or diverted to another direction, which may lead to drying up of riverbeds or flooding of settlements Restrict the duration and timing of in-stream activities to low periods, and avoiding periods critical to biological cycles of valued flora and fauna Use diversion techniques during construction to limit the mixing of moving water with disturbed sediments 	<ul style="list-style-type: none"> Do not use any natural water resources to supply water (e.g., springs, streams and lakes) without approval of relevant authorities, local leaders. Do not discharge of waste into water courses, ponds, drainage systems Do not block the water flow Do not use entirely divert the flow of a water course (for water supply or irrigation purposes)
Air	<ul style="list-style-type: none"> Turn machines off when not in use Prevent dust creation on roads as far as possible Waste management, safe disposal 	<ul style="list-style-type: none"> Do not cause air pollution by burning wastes, exhaust of machines while not in use etc.
Biodiversity	<ul style="list-style-type: none"> Tree cutting only if unavoidable Sensitive areas for protected plants and animals to be avoided 	<ul style="list-style-type: none"> Do not kill animals, hunting by workers is prohibited Do not cut or collect protected plant species Do not promote motorized activities in sensitive areas)
Community Health and Safety	<ul style="list-style-type: none"> Demarcate open trenches and hazardous areas with signs and lighting or temporary fencing Establish appropriate site boundary and access controls near settlements to prevent unauthorized entry to construction or activity sites especially by children (e.g., fencing of construction section in the vicinity of settlements or communities) Protect water sources, quality and access Avoid standing water, water-borne diseases and possible drowning 	<ul style="list-style-type: none"> Do not implement any activities without assessing the potential impacts to the community's health and safety during establishment and during operation Do not leave any holes and openings without secure fencing provided with fixed, clearly marked covers. Do not exceed the speed limits.

Community Planning	<ul style="list-style-type: none"> Engage community members in an inclusive, participatory manner Consider the impact of those most vulnerable in the community Establish and maintain grievance mechanism accessible to all local communities and all workers, including volunteer community workers 	<ul style="list-style-type: none"> Do not make exclusive agreements that does not respect broad community sentiments Do not retaliate against those raising concerns or grievances
Cultural heritage	<ul style="list-style-type: none"> Map cultural physical heritage and intangible heritage to avoid during design of activities 	<ul style="list-style-type: none"> Do not disturb built heritage, graves Do not disturb or impact sites of importance Do not disturb religious properties
Employment and Labour Rights	<ul style="list-style-type: none"> Implement a fair and transparent employment process with priority of local residents Provide activity workers with clear and understandable information regarding rights via contract documents in local language Ensure that all volunteer community labour is provided without coercion. Documentation of the community agreement must record: <ul style="list-style-type: none"> The terms of which the voluntary labour is provided <ul style="list-style-type: none"> The way in which the agreement was reached Representation of the volunteer community workers 	<ul style="list-style-type: none"> Do not discriminate any workers or job applicants on the basis of their gender, marital status, nationality, ethnicity, age, religion or sexual orientation Do not recruit or engage children (under 16 years old) Under no circumstances, use forced labour.
Incident reporting	<ul style="list-style-type: none"> Record and report any hazards, any incidents or injuries 	<ul style="list-style-type: none"> Do not ignore any hazard, injury or incident whether to community member or workers

Occupational Health and Safety	<ul style="list-style-type: none"> • Conduct risk assessment and define mitigation measures for each activity • Provide health and safety training to all participants and conduct regular conversations on health and safety during implementation • Provide the right Personal Protective Equipment (PPE) and make sure that they are used to provide protection (e.g. gloves, dust masks, hard hats, boots, goggles)³ • Keep PPEs in good condition and change them in case they are damaged • Prevent slips and falls and other injuries through good housekeeping practices in all worksites, provision of safe equipment and tools, and use of PPE • Prevent ergonomic illnesses from over-exertion by lifting and carrying of materials and equipment by stipulating weight limits, breaks and job rotations • Prohibit usage of alcohol or illegal drugs • Use the right tool for the activity • Implement good housekeeping to prevent trips, slips and falls • Provide sufficient drinking water for workforce • Provide and maintain toilet facilities for workforce separately for female and male workers • Be prepared to handle accidents and provide first aid, ensure access to basic first-aid kit with bandages, antibiotic cream, etc. 	<ul style="list-style-type: none"> • Do not try to repair any broken equipment and machinery if you are not authorized (electrocution risk) • Do not work with machines or in accidental terrain without PPE
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For relevant specific activities according to Menu of Measures, further ESCOP guidance will be developed when the activities are determined.

³ The appropriate PPE needs to be identified, in place before starting work, used and maintained regularly, and its use and maintenance monitored;

- Eye and face protection for flying particles, molten metal, liquid chemicals, gases or vapours, light radiation: safety glasses with side-shields, protective shades
- Head protection for falling objects, inadequate height clearance, and overhead power cords: plastic helmets with top and side impact protection
- Hearing protection for noise: ear plugs or ear muffs
- Foot protection for falling or rolling objects, pointed objects, corrosive or hot liquids: safety shoes and boots
- Hand protection for hazardous materials, cuts or lacerations, vibrations, extreme temperatures: gloves made of rubber or synthetic materials (Neoprene), leather, steel, insulating materials
- Respiratory protection for dust, fogs, fumes, mists, gases, smokes, vapours: facemasks with appropriate filters for dust removal and air purification

Annex 11: ES Management-Tool: Generic ESMP table

(to be updated based on selected activities)

Component	Potential impact	Significance	Mitigation measure	Responsible
1.) General Good Construction Practices				
All	Construction Permits / Environmental Assessment	Moderate	<ul style="list-style-type: none"> Are all required permits available All affected persons consulted and agreed? Activities requiring national / international EIA are excluded 	PMA
All	Public Consultations / PAP consultations	Moderate	<ul style="list-style-type: none"> Village announcement of project to be made, leaflet to be distributed Grievance Mechanism to be introduced to PAPs MoU for project cooperation to be signed Regular information about project, FPIC steps to be applied 	PMA
All	Land Acquisition	Negligible	<ul style="list-style-type: none"> No physical resettlement / destruction of houses Sub-Projects requiring land acquisition are not eligible 	PMA
All	Air pollution	Negligible	<ul style="list-style-type: none"> Construction engines shall be turned off when not used Dust prevention measures (sprinkling of roads) where necessary (especially in settlements during drought periods) 	VC/GP / Community Groups (if applicable)
All	Noise (works with machines)	Negligible	<ul style="list-style-type: none"> If construction project is selected: No blasting of rocks Use of construction engines and machines during normal working hours near settlement areas Notification to nearby residents before starting works that involve use of machines 	VC/GP / Community Groups (if applicable)
All	Water and Soil pollution e.g., Oil-Spills (works near rivers / water bodies)	Moderate	<ul style="list-style-type: none"> Waterworks to avoid increased turbidity over a longer period Avoid water pollution through vehicles, waste and or livestock (especially above drinking water and bathing facilities: Appropriate machine use and vehicle maintenance measures to prevent soil pollution (e.g., oil spills) during works Proper disposal of used oil and lubricants at specialized hazardous waste treatment plant 	VC/GP / Community Groups (if applicable)
All	Tree Cutting	Minor	<ul style="list-style-type: none"> Tree cutting shall be avoided to the extent possible. Cutting of endangered tree species to be totally avoided Where trees need to be cut, roots shall remain in the ground for re-growth and soil stabilization and TFD norms need to be adhered to as well 	VC/GP / Community Groups
All	Waste management	Moderate	<ul style="list-style-type: none"> Waste Management Checklist to be prepared, 	VC/GP / Community

Climate Change Adaptation Programme in the Himalaya, Component II: Tripura
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BMZ No.: 2015 67 650 (Grant) & 2015 67 643 (Loan)

Component	Potential impact	Significance	Mitigation measure	Responsible
			<ul style="list-style-type: none"> No throwing of waste into the landscape (e.g., plastic bottles etc.) Waste to be collected at worksites and transported to land fill No burning of any waste (prohibition) Environmental awareness campaign useful 	Groups / awareness raising by PIAs and during VDP preparation
All	Labour management and respect of Core Labour Standards	negligible	<ul style="list-style-type: none"> Core labour standards to be respected Respect of working hours No employment of children under 16 years Equal Pay principle for men and women to be applied 	VC/GP / community groups / supervision by PIAs (if applicable)
All	Community Health & Safety	Minor	<ul style="list-style-type: none"> For work sites: Signalization of construction site, traffic signalization(if applicable) Fencing of worksites (e.g., trenches), (if applicable) 	VC /GP community groups / supervision by DPMA
All	Workers Health and Safety	Moderate	<ul style="list-style-type: none"> EHS checklist for work-safety to be prepared (for community infrastructure projects), trainings/familiarization for workers, workers should be obliged to wear personal protective equipment (PPE) as slice proof trousers, safety shoes, helmets, glasses and masks etc. First Aid Kits and fire extinguishers to be available at work sites. Temporary sanitary facilities installed at work sites. Accidents and Emergency procedure to be defined and workers informed/trained / Serious Incident Reporting (see Annex for template) 	VC /GP / community groups / supervision by DPMA
All	Complaints by PAPs / Grievance Mechanism	Moderate	<ul style="list-style-type: none"> GRM with assigned staff responsibility (at project level), contact information to be made available to all stakeholders Linkages with VDPIIC / LRPC to be created, periodical enquiry if any problems exist Documentation of Grievances and resolution process in GRM log book by Project 	DPMA supported by TA
All	Non-compliance of Subcontractors / local contractors (if applicable)	As planned not applicable	<ul style="list-style-type: none"> Establish sound construction guidance / principles for local contractors Construction contractors will be fully responsible for any non-compliance issues of their sub-contractors (to be specified in contract documents including financial enforcement mechanisms) 	Constructor (if applicable)
All	Rehabilitation of Work Areas / Site rehabilitation plan	Minor	<ul style="list-style-type: none"> No large-scale works are planned A site rehabilitation plan shall be established in prior to start of construction for all work and construction areas All wastes to be removed from construction sites 	VC/GP / community groups / supervision by DPMA / TA

If an activity is planned, which involves considerable construction works (use of machines or hiring constructors) a specific ESMP should be established, based on this generic template. For small-scale activities, e.g., construction of household piggery, construction of Youth hut etc., ES checklists and ESCOP will be sufficient.

Annex 12: ES management-Tool: Grievance Forms (KfW) (to be translated)

The following form is used by GRM focal points to record grievances by PAPs. The form needs to be stored at DPMA and a photo / copy of it to be forwarded to PMA and Implementation Consultant.

(a) By individual

Name of complainant	
Gender & Age	
Contact number	
Name of Village/Para	
Name of GP/VC	
Block	
District	

(b) By group of individuals

Name of complainant (Group Leader)						
Gender & Age						
Contact number (Group leader)						
Number of people associated with this complaint	Total		Male		Female	
Name of Village/Para						
Name of GP/VC						
Block						
District						

To

The President, LRPC /Chairman, VDPIC / Village Mediation Unit,

_____ (Name of the Panchayat/Village)

Sub: Complaints / Expression of Grievances

I/We wish to present this complaint form related to the following issue/s which I/we believe is/are related to CREFLAT project:

Climate Change Adaptation Programme in the Himalaya, Component II: Tripura
Climate Resilience of Forest Ecosystems, Biodiversity & Adaptive Capacities of Forest Dependent Communities
BMZ No.: 2015 67 650 (Grant) & 2015 67 643 (Loan)

I/We submit this Complaint/Grievance Form to:

Mr/Mrs/Ms _____ for consideration as
per the CREFLAT's Grievance Redressal Mechanism.

Thanking you,

Signature: _____

Name: _____

Date: _____

Annex 13: E&S Management Tool: Grievance Resolution Form

The following form is used to document the grievance resolution process and result.

GRIEVANCE RESOLUTION FORM	
Ref No & Date (assigned by PMA/DPMA):	
Details of Complainant & Grievance/s (to be dealt in confidentiality)	
Full Name	
Contact No (mobile / email)	
Anonymous submission	
Language for communication	English / Bengali / Local tribal language
Description of the Grievance or Incident <i>(What happened? Where did it happen? Who did it happen to? What is the result of the problem?)</i>	
Date of Incident/Grievance	One time incident / grievance (date):
	Happened more than once (how many times):
	On-going (Currently experiencing problem): YES / NO
What would the complainant like to see happen to resolve the problem?	
Suggested resolution (after discussion at DPMA or PMA) [concerned LRPC/BLC may be involved in the discussion]	
Final solution/s or action/s to address the complaint (to be recorded by DPMA or PMA)	
Follow up responsibility to take the actions (to be determined by DPMA or PMA)	
Signature of Authorized Person at DPMA / PMA	
Name & Designation	
Place & Date	

Annex 14: Grievance Logbook Example

The following table shows an example how a grievance register can be established (preferable in excel).

No.	Date	Name of Aggrieved Person	Contact of Aggrieved Person	Issue / Complaint / Suggestion	Date of response	Grievance justified (y/n)? – Reason	Follow up action	Grievance closed?

Annex 15: ES Management-Tool: Serious incident reporting form (KfW)

The following form is used in case of accidents or other serious incidents related to the project activities.

Serious Incident Reporting Template in the context of nature conservation and natural resource management Projects

As part of the reporting requirements stipulated in the Separate Agreement, the PEA has committed to inform and report to KfW on all Serious Incidents (SI) resulting from or in the context of the Project.

In this context, any SI must be reported immediately after the incident occurred to KfW. Given the time it may take to prepare a full SI report, the PEA is requested to provide an immediate email (within 72h) to KfW as an initial notification while the complete report is being prepared. The full SI report shall be submitted no later than 10 workdays after first notification. For detailed reporting, this SI Reporting Template shall be used.

Definition of SI

A SI shall be defined as any unplanned or uncontrolled event with a materially adverse effect on workers, community members or the environment within the Project's Area of Influence (Aol) or an event that has the potential to have material or immaterial adverse effects on the Project execution, or gives rise to potential liabilities or reputational risks that could jeopardize the achievement of the Project's overall objectives.

SI could encompass one or more of the following aspects:

- Health and safety of Project workers (including on-site subcontractors/suppliers/community workers), such as workplace accidents which result in serious injuries or death, discovery of child or forced labour in the Project context including the supply chain, kidnapping of Project staff, grievances on serious Occupational Health and Safety-related incidents etc.;
- Health and safety as well as livelihood conditions of adjacent communities, such as serious injuries, death or substantial loss of assets (e.g., livestock) due to human wildlife conflicts, accidents in relation to infrastructure established or equipment provided in the Project context (e.g., drowning in canals or water reservoirs), involvement in traffic accidents caused by Project related activities, exposure to hazardous substances, grievances on serious Community Health and Safety-incidents etc.;
- Threats to the social cohesion of communities caused by the project, such as violent unrest and protests, disputes with local communities and Project personnel, intra- or intercommunal conflicts etc.;
- Human rights violations in the conduct of anti-poaching and/or law enforcement activities which result in death, serious injuries or substantial damage to/confiscation or loss of community or private property, torture in custody, other forms of violence involving Project personnel, contractors/subcontractors and/or members of state security agents (police, gendarmerie, military etc.) related to Project activities etc.;
- Forced evictions from territories of protected areas or from other sites related to the Project and which results in demolition of permanent or temporary shelter and assets etc.;
- Discrimination of local communities' rights in relation to restrictions on traditional lands, territories, resources or cultural heritage, but in particular regarding indigenous peoples' rights due to the infringement of the Free, Prior and Informed Consent (FPIC) Principle etc.;

- Gender-based violence associated with personnel employed or engaged by the Project executing entity or through third parties, such as sexual exploitation, sexual abuse, or sexual harassment, physical violence against women etc.;
- Environmental risks due to unintended Project consequences which result in serious environmental contamination, destruction or degradation of forests, habitats and natural resources (air, water, soil) etc.;
- Legal non-compliances, such as breach of national environmental and social laws, violation of international treaties or threatened legal actions to be filed against the PI/EA or Project members, resulting in fines or court action;
- Reputational risks to all involved actors, such as negative media coverage, NGO accusations or any other activity that could result in substantial adverse attention of outside parties including media/press reports.

Full SI Reporting

The Full SI Reporting shall provide answers to the following questions: *What happened? How did it happen? Why did it happen? What needs to be corrected? What will be done as corrective actions, when and by whom?*

Full SI Reporting will comprise in each case of

- 1) A description of the nature of the SI and its on-site and off-site effects;
- 2) A root-cause analysis of the SI, including specifications on roles and responsibilities; procedures in place as well as potential management failings; and
- 3) Details of any immediate response and ongoing corrective actions in order to remedy the effects of the SI and prevent reoccurrence, including regulation of potential liabilities.

Information provided should be clear, unambiguous, and factual (i.e. free from interpretation). Any gaps in the information provided should be highlighted and addressed in the investigation.

Information on SI case closure

The PEA shall keep KfW informed about any progress in respect of remedial actions as well as any open issues/conflicts with regard to the incident that would require further clarification (e.g. complaints/grievances by the victims' families etc.) through regular updates.

General Information	
Project name, country, region	
Name of Grantee	
Name of the entity submitting the information	
Name of main person(s)/organizations/companies involved in causing the Incident	
Name of the alleged victim(s), their age, sex, and place of residence, and in cases involving a group or community as much information as possible	
Details about the Incident	
Date and time of the Incident (approximate, if exact details are unknown)	

Location of the Incident (approximate, if exact details are unknown)			
Type of Incident	<i>Health and Safety of Workers</i> <input type="checkbox"/> <i>Community Health and Safety</i> <input type="checkbox"/> <i>Social Cohesion</i> <input type="checkbox"/> <i>Human Rights</i> <input type="checkbox"/> <i>Forced Evictions</i> <input type="checkbox"/>	<i>Indigenous Peoples' rights</i> <input type="checkbox"/> <i>Gender-based Violence</i> <input type="checkbox"/> <i>Stability of the Environment</i> <input type="checkbox"/> <i>Legal Compliance</i> <input type="checkbox"/> <i>Reputational Risk</i> <input type="checkbox"/>	
Detailed chronological description of the Incident and its circumstances (attach photos)			
Root Cause Analysis			
Detailed description of key causal factors, including outside factors or potential management failings and identification of absent/inadequate/failed/unused management and control measures (e.g., non-compliances with E&S measures or standards)			
Specification of roles and responsibilities relevant to the Incident, including the involvement of authorities			
Description of any reaction to the Incident by the victims, involved families or communities as well as local/national/international media			
Methods applied for conducting the root cause analysis, (e.g., interviews, document reviews, site visits, police reports etc.)			
Immediate Response and Corrective Actions			
Description of immediate response and related responsibilities, such as person(s) taken to hospital, police informed, national authorities involved etc.			
Description of corrective actions, next steps and related responsibilities to prevent the Incident from happening again and/or follow up to close the case or proceed with further investigations(include short action table with responsibilities and schedule)			
Incident Report Approval			
	Position	Name	Date
Prepared by			
Approved by (Senior Management)			

Annex 16: ES Management-Tool: ESHS Monitoring template (KfW)

TEMPLATE FOR REPORTING ON ENVIRONMENTAL, SOCIAL, HEALTH AND SAFETY (ESHS) PERFORMANCE AND COMPLIANCE FOR "GREEN SECTOR" PROJECTS, SUCH AS IN NATURE CONSERVATION, FOREST LANDSCAPE RESTORATION AND NATURAL RESOURCE MANAGEMENT

Introduction:

As for all KfW-financed projects Environmental, Social, Health and Safety (ESHS) performance and compliance is required to be monitored, reported and evaluated (MRE) during all stages of the project cycle with the main objective of ensuring that supported activities comply with the Relevant Standards and requirements laid out in the project's respective environmental and social safeguard instruments as well as the Separate Agreement. This template shall be used for the periodical MRE of the project and should be filled out and annexed to the regular technical progress reports. While this template presents the minimum information to be included from an ESHS perspective, it is to be considered generic and requires amendments according to the impact indicators and requirements stemming from the respective safeguard instruments that have been developed for the project. The template is to be completed by the responsible party for ESHS matters.

There might be questions that are not applicable to the specific project and others where further information will be necessary to complete. Please, indicate which sections are not relevant.

Please use as much space as needed and replace/delete all italic descriptions in the respective rows as these are only for illustrative purposes. The space provided in the table should not be a limit. Add rows if needed, and attach relevant documents and photos (with cross-reference indicated).

PROJECT BASIC INFORMATION		
Project Title:		
Project Location (Country/Province):		
Project Objective:		
Project Executing Agency (PEA):		
Report Date:		
Please provide contact details of the responsible person(s) completing this questionnaire for further communication:		
Position:	Name:	Email Address:

PROJECT STATUS REGARDING THE IMPLEMENTATION/MANAGEMENT OF ESHS MEASURES	
Reporting Period:	<i>Please state month and year (from / to)</i>
Current Project Phase:	
Budget spent:	
Budget spent on ESHS matters:	
Implementing Agents:	
Nature of Sources:	<i>Please list all different sources of information used to compile this report, including participatory/ community monitoring results etc.</i>

HUMAN RESOURCES MANAGEMENT / EMPLOYEES	
Total number of permanent project employees currently in the project:	<i>No. and Change since last report:</i>
Number of casual/temporary employees, including community workers, currently and contractually engaged in the project:	<i>No. and Change since last report:</i>
Number of employees contractually engaged through third parties (e.g. local institutions, NGOs, other organizations, subcontractors, etc.) in the project:	<i>No. and Change since last report:</i>
Number of female employees engaged (permanent/temporary) in the project:	<i>No. and Change since last report:</i>
Number of staff in charge of the project's ESHS performance and compliance (e.g. ESHS Manager, Stakeholder Relations Manager, Livelihood Development Specialist, Security Advisor, Land Use Planner, Foresters etc.):	<i>No. and Change since last report:</i>

PROJECT ACTIVITIES AND STATUS
Please describe the main ESHS-related activities and measures that have taken place during the reporting period (including maps for illustrative purposes), any changes to the scope of the project, any significant changes applied to safeguard instruments as well as any potential changes which may become relevant in the upcoming reporting period, all compared to the initial project proposal (new activities, changes to the target areas etc.). The summary can be in form of bullet points.

ASSESSMENT AND MANAGEMENT OF ESHS IMPACTS	
ESHS Risk Category as of KfW Sustainability Guideline:	<input type="checkbox"/> A <input type="checkbox"/> B+ <input checked="" type="checkbox"/> B <input type="checkbox"/> C
Please list the applicable Safeguard Instruments (e.g. Environmental and Social Management Framework (ESMF) , Process Framework (PF), Community Planning and Engagement Framework (CEPF) , Resettlement Policy Framework (RPF), Indigenous Peoples Planning Framework (IPPF), and corresponding sub-plans, such as Environmental and Social Management Plans (ESMP) , Environmental and Social Codes of Practice (ESCP) , Livelihood Restoration Plans (LRP), Resettlement Action Plans (RAP), Indigenous Peoples Plans (IPP) or any other safeguard instrument applied or to be applied as a result of the impacts identified during the respective reporting period. In addition, please briefly describe the key objectives and measures of these Safeguard Instruments in bullet points and how they are aligned with the technical approach of the Project.	

OVERVIEW – DESCRIPTION OF RELEVANT ESHS ISSUES

OVERVIEW – DESCRIPTION OF RELEVANT ESHS ISSUES	
<p>This chapter is to provide an overview of the most relevant ESHS findings encountered during the reporting period:</p> <p>Please consider the following aspects for each of the ESHS topics:</p> <ul style="list-style-type: none"> • What were the ESHS impacts (positive and negative) encountered during the reporting period? • What mitigation measures haven been taken to address any of the encountered negative impacts? • Were there any challenges when implementing these measures and what was done to overcome these during the reporting period, or is foreseen to be done for the next reporting period? 	
Topic:	Identified Findings / Issues etc.
General E&S Management	<i>Please describe the general E&S management approach applied during the reporting period for identifying, assessing, avoiding, reducing and managing ESHS risks and impacts and how this approach was aligned with the overall project implementation.</i>
Labour & Working Conditions / Trainings	<i>Please describe the occupational health and safety (OHS) risks and impacts encountered during the reporting period as well as implemented mitigation measures (for project staff, contractors and community workers); please refer to the different relevant activities and the corresponding sites in the project areas to illustrate risks.</i>
Resources & Pollution	<i>Please describe any pollution risks resulting from project activities encountered during the reporting period as well as implemented mitigation measures (e.g. pollution due to poor use of agrochemicals, pesticides, fertilizers or contamination of soils through poor waste management practices etc.).</i>
Community Health & Safety	<i>Please describe the risks and impacts in relation to community health and safety (H&S) encountered during the reporting period as well as implemented mitigation measures (including risks in relation to security and human rights aspects in the context of law enforcement, Gender-Based Violence (GBV), human wildlife conflict (HWC), as appropriate).</i>
Access and Use Restrictions / Land Acquisition / Resettlement	<i>Please describe the risks and impacts which occurred in the course of activities related to land acquisition, physical resettlement as well as in regard to restrictions on access and use of land and natural resources encountered during the reporting period and the corresponding mitigation measures taken, with a focus on vulnerable groups (e.g. the poor, landless, female headed households, people with physical disabilities, children etc.).</i>
Biodiversity & Natural Resources	<i>Please list the risks and impacts in relation to biodiversity, natural resources (flora and fauna) as well as ecosystem services encountered during the reporting period and the mitigation measures implemented,</i>
Indigenous Peoples	<i>Please describe the risks and impacts from activities undertaken during the reporting period in relation to indigenous peoples, ethnic minorities or underserved traditional local communities and the mitigation measures taken (e.g., FPIC protocols).</i>
Cultural Heritage	<i>Please list the risks and impacts from activities during the reporting period in relation to tangible and intangible cultural heritage as well as the mitigation measures implemented.</i>
Stakeholder Engagement / Grievance Management	<i>Please list the risks and impacts from activities during the reporting period as well as the mitigation measures implemented in relation to stakeholder engagement (information disclosure, consultation, negotiation), social inclusion and empowerment of socially discriminated or marginalized groups as well how grievance have been addressed.</i>

ESHS CAPACITY BUILDING AND TRAINING
Summarize any ESHS related capacity building or training provided to project staff or communities, incl. any activities in this regard that are foreseen to be provided during the next reporting period.

EXTERNAL ESHS CHECKS		
Have there been any ESHS checks or inspections conducted by local authorities or regulatory bodies during the reporting period?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<i>If yes, please also indicated date of the check and implementing party:</i>
Have there been any ESHS non-compliance(s) of national law or any other regulations reported during/after the check?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<i>If yes, please describe the nature of non-compliance(s) and any corrective actions:</i>

SERIOUS INCIDENTS AND ACCIDENTS
Summarize any unplanned or uncontrolled serious incident and accident with a materially adverse effect on staff, community members or the environment within the Project's Area of Influence (Aol) or an event that had the potential to have material or immaterial adverse effects on the Project execution, or gives rise to potential liabilities or reputational risks that could jeopardize the achievement of the Project's overall objectives as encountered during the reporting period. The summary should be based on the detailed "Serious Incident Reporting Template" as annexed to the project's Separate Agreement as well as in the respective ToR of the Consultancy Services and include information on corrective actions taken in order to remedy the effects of the incident and prevent reoccurrence. Grievance and complaints and what is foreseen to address outstanding issues.

GRIEVANCE MANAGEMENT
Summarize any grievance or complaint received during the reporting period as well as the status on resolution.
<ul style="list-style-type: none"> Workers' complaints and grievances (e.g. related to labour/accommodation conditions) and their resolution; Community/third-party grievances, any ESHS issues-related legal action/litigation against the project as well as their resolution.
Please provide information on how successful the implementation of the measures taken were to resolve the described grievance and complaints and what is foreseen to address outstanding issues.

LESSONS LEARNED
If there have been lessons learned in regards to ESHS risks and impacts as well as their management during the reporting period, please describe them briefly.
OUTLOOK
Please describe recommendations for ESHS-related adaptive management and actions to be foreseen by the project for the next reporting period (planned activities and results).